CALIFORNIA GAMBLING CONTROL COMMISSION
SPECIFIC LANGUAGE OF PROPOSED REGULATIONS
LICENSING
CGCC-GCA-2020-01-R

California Code of Regulations
Title 4. Business Regulations.
Division 18. California Gambling Control Commission.

CHAPTER 1. GENERAL PROVISIONS.

ARTICLE 1. DEFINITIONS AND GENERAL PROCEDURES.

§ 12002. General Definitions.

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

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

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

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

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

(e)~~(d)~~ "BCIA~~I~~" means the Bureau of Criminal Information and Analysis~~Identification and~~ in the California Department of Justice.

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

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

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

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

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

(k) “Cardroom employee type license” means a license issued to any person as provided in Business and Professions Code section 19805, subdivision (n), who does not only hold a local work permit; and, for the purposes of this division also includes a key employee license or a Commission work permit.

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

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

(n) “Cardroom owner type license” means the same as provided in Business and Professions Code section 19805, subdivision (p), and for the purposes of the division, includes a cardroom business license or a cardroom endorsee license.

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

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

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

(r)(k) "Dealer's bank" means any and all monies a dealer has on deposit with the cardroom business licenseegambling enterprise or is assigned from the cage bank for chip trays.

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

(t)(l) "Drop" means any and all player collection fees received from patrons or TPPPS business licenseescompanies by a cardroom business licenseegambling enterprise to play in controlled games, not including tournament fees, jackpot collections, or payments under a TPPPS contracts for third party proposition player services.

(u) "Employee category license" means a cardroom employee type license or a TPPPS employee type license.

(v)(m) "Employee of the Commission" means the staff employed by the Commission including the Executive Director and all staff under the direction of the Executive Director.

(w)(n) "Executive Director" means the executive officer of the Commission, as provided in Business and Professions Code section 19816 or his or her designee. If the Executive Director position is vacant, the "Executive Director" means the officer or employee who isshall be so designated by the Commission.

(x)(o) "Fiscal year" means the annual period used by a licensee for financial reporting purposes.

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

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

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

(aa)(r) "GCA hearing" means an evidentiary hearing referred to as "the meeting" pursuant to Business and Professions Code sections 19870 and 19871.

(ab) "Initial 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) Initial cardroom business license;

(B) Initial cardroom endorsee license;

(C) Initial key employee license;

(D) Initial Commission work permit;

(E) Initial TPPPS business license;

(F) Initial TPPPS endorsee license;

(G) Initial TPPPS supervisor license; or,

(H) Initial TPPPS worker license.

(2) The following license types:

(A) Initial cardroom owner type license;

(B) Initial cardroom employee type license;

(C) Initial TPPPS owner type license; or,

(D) Initial TPPPS employee type license.

(3) The following license categories:

(A) Initial cardroom category license;

(B) Initial TPPPS category license;

(C) Initial owner category license; or,

(D) Initial employee category license.

(ac)~~(s)~~ "Interim license" means a license issued by the Commission for some interim period which includes:

(1) A~~a~~n interim renewal license issued pursuant to Section 12035; and,

(2) A~~a~~n interim owner category~~gambling~~ license issued pursuant to Article 4 of Chapter 2~~Section 12349, and an interim key employee license issued pursuant to Section 12354~~.

(ad)~~(u)~~ "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)~~(t)~~ "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)~~(u)~~ "Licensee" means any person who is licensed ~~or registered~~, or endorsed on a license ~~or registration~~, by the Commission pursuant to the Act or any regulation adopted pursuant to the Act.

(ah)~~(v)~~ "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)~~(w)~~ "Player's bank" means any and all monies a patron or a TPPPS business license~~company~~ has on deposit with the cardroom business licensee~~gambling enterprise~~.

(ak)~~(x)~~ "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 license types:

(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:

(A) Renewal cardroom owner type license;

(B) Renewal cardroom employee type license;

(C) Renewal TPPPS owner type license; or,

(D) Renewal TPPPS employee type license.

(3) The following license categories:

(A) Renewal cardroom category license;

(B) Renewal TPPPS category license;

(C) Renewal owner category license; or,

(D) Renewal employee category license.

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

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

(A) Temporary cardroom business license;

(B) Temporary cardroom endorsee license;

(C) Temporary key employee license;

(D) Temporary Commission work permit;

(E) Temporary TPPPS business license;

(F) Temporary TPPPS endorsee license;

(G) Temporary TPPPS supervisor license; or,

(H) Temporary TPPPS worker license.

(2) The following license types:

(A) Temporary cardroom owner type license;

(B) Temporary cardroom employee type license;

(C) Temporary TPPPS owner type license; or,

(D) Temporary TPPPS employee type license.

(3) The following license categories:

(A) Temporary cardroom category license;

(B) Temporary TPPPS category license;

(C) Temporary owner category license; or,

(D) Temporary employee category license.

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

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

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

(ar) "TPPPS employee type license" means a TPPPS supervisor license, or a TPPPS worker license.

(as) "TPPPS endorsee license" includes a license issued to any of the following:

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

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

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

(4) Any TPPPS funding source.

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

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

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

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

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

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

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

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

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

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

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

(ax) “TPPPS worker license” means a license issued to any natural person employed or hired by a TPPPS business licensee, including a subcontractor or independent contractor, whose duties include being at a gambling establishment, but who does not have any supervisorial responsibilities identified in a job

duty statement or otherwise empowered to make discretionary decisions that regulate TPPPS operations, including, without limitation, the authority to, on behalf of the TPPPS business licensee, to authorize or approve the distribution of currency, chips, or other wagering instruments to players engaged in the provision of third-party proposition player services in a gambling establishment.

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

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

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

Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19853~~(a)(3)~~, 19854, and 19869, Business and Professions Code; and Section 7, Government Code. Reference: Sections 7.5, 19800, 19805, 19811, and 19816, ~~and 19951,~~ 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~~company or gambling business, as applicable~~. 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~~within five business days after~~ 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 ~~registrant or~~ licensee or holder of a Commission work permit must~~shall~~ report to the Bureau any change of contact information, whether residence address, address of record or mailing address, phone number or any other contact information, within ten days of that change on a form entitled "Notice of

Contact Information Change," CGCC-CH1-01~~32~~ (New~~Rev.~~ 05~~06/~~20~~12~~), 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 participation in the play of any California game without an approved TPPPS contract.

(b) A person cannot participate in the play of a California game as an employee or independent contractor without an approved TPPPS contract.

(c) A person cannot participate in the play of 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-ND-002 (Rev. 12/18) 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

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

~~Every application for a registration or license issued pursuant to this division shall be accompanied by a fee that is authorized by Business and Professions Code section 19951(a). Every application for a work permit issued pursuant to Chapter 2 of this division shall be accompanied by a fee that is authorized by~~

~~Business and Professions Code section 19915. The fee for the initial application and renewal of registrations, licenses or work permits issued pursuant to this division is as follows:~~

~~(a)(1) For an initial Gambling License issued pursuant to Chapter 6, the fee is one thousand dollars ($1000).~~

~~(2) For a renewal Gambling License issued pursuant to Chapter 6 when the complete renewal application is submitted in a timely manner, as defined in subsection (a) of Section 12345 of Article 3, the fee is one thousand dollars ($1000) for each application required pursuant to Section 12345. For a renewal Gambling License issued pursuant to Chapter 6 when the complete renewal application is deemed delinquent, as defined in subsection (a) of Section 12345, the fee is two thousand dollars ($2000) for each application required pursuant to Section 12345, which includes a delinquency fee of one thousand dollars ($1000).~~

~~(b) For a Gambling Establishment Key Employee License issued pursuant to Chapter 6, the fee is as follows:~~

~~(1) For an interim key employee license, the fee is twenty-five dollars ($25).~~

~~(2) For an initial and renewal license, the fee is seven hundred and fifty dollars ($750).~~

~~(3) For a replacement license, the fee is twenty-five dollars ($25).~~

~~(c) For an initial and renewal Work Permit issued pursuant to Chapter 2, the fee is as follows:~~

~~(1) For a Regular Work Permit, the fee is two hundred and fifty dollars ($250).~~

~~(2) For a Temporary Work Permit, the fee is twenty-five dollars ($25), in addition to the regular work permit fee in paragraph (1) of this subsection.~~

~~(d) For a Third-Party Proposition Player Services registration or license issued pursuant to Chapter 2.1, the fee is as follows:~~

~~(1) For an initial and renewal registration of all registration types, the fee is five hundred dollars ($500).~~

~~(2) For a temporary player registration, the fee is twenty-five dollars ($25), in addition to the regular player registration fee specified in paragraph (1) of this subsection.~~

~~(3) For an initial and renewal license as a primary owner or owner, the fee is one thousand dollars ($1000).~~

~~(4) For an initial and renewal license as a supervisor, the fee is seven hundred and fifty dollars ($750).~~

~~(5) For an initial and renewal license as a player or other employee, the fee is five hundred dollars ($500).~~

~~(e) For a Gambling Business registration or license issued pursuant to Chapter 2.2, the fee is as follows:~~

~~(1) For an initial and renewal registration for all registration types, the fee is five hundred dollars ($500).~~

~~(2) For an initial and renewal license as a primary owner or owner, the fee is one thousand dollars ($1000).~~

~~(3) For an initial and renewal license as a supervisor, the fee is seven hundred and fifty dollars ($750).~~

~~(4) For an initial and renewal license as a player or other employee, the fee is five hundred dollars ($500).~~

~~(f) For a Gambling Equipment Manufacturer or Distributor Registration issued pursuant to Chapter 4, the fee is as follows:~~

~~(1) For an initial and renewal registration as a Class A Equipment Manufacturer or Distributor, the fee is five hundred dollars ($500).~~

~~(2) For an initial and renewal registration as an "antique collector", within the meaning of Sections 12300(b)(1) and 12301(b)(10)(B), the fee is forty dollars ($40).~~

~~(3) For a Class B Equipment Manufacturer or Distributor Registration, no fee is required.~~

~~Note: Authority cited: Sections 19811, 19824, 19840, 19841(a), 19853(a)(3), 19854, 19876(g), 19915, 19951(a) and 19984, Business and Professions Code. Reference: Sections 19915, 19841(r), 19853(a)(3), 19951(a), 19876(g) and 19984(b), 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~~Sub 001~~ (New 05~~02~~/20~~13~~), 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 heard. Upon a timely motion of a party or a witness, after notice to the parties and an opportunity to be

heard, upon a showing of good cause, the presiding officer may order the quashing of a subpoena or subpoena duces tecum entirely, may modify it, or may direct compliance with it upon other terms and conditions.

(c) …

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

§ 12015. Withdrawal of Applications.

…

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

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

§ 12017. Abandonment of Applications.

…

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

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

§ 12035. Issuance of Interim Renewal Licenses.

…

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

…

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

§ 12040. Mandatory and Discretionary Grounds for Denial

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

(1) Will be denied if the Commission makes a finding 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~~ND-002~~ (New 05~~12~~/20~~18~~), 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, ~~and~~ 19876, and 19914, Business and Professions Code; 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 a designated agent has not provided documentation pursuant to subsection (c), the person may still serve on behalf of the applicant, licensee, or holder of a Commission work permit, provided however that the Commission may require licensure if the Commission determines that the designated agent has the power to exercise a significant influence over the gambling operation, consistent with paragraph (6) of subdivision (a) of Business and Professions Code section 19853, or TPPPS business licensee.

(e) 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 i~~I~~n ~~addition to s~~Section 12002 and in subsection (b) of this section, the ~~following~~ definitions in Business and Professions Code section 19805 govern the construction of ~~the regulations contained in~~ this ~~C~~chapter~~:~~.

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

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

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

~~**§ 12101. Forms.**~~

~~The following forms shall be used as specified in this chapter:~~

~~(a) "Renewal Work Permit Application Form" means the "Application for Work Permit Renewal" BGC-023 (Rev. 07/17) which is hereby incorporated by reference.~~

~~(b) "Replacement Badge Application" means the "Application for Replacement Work Permit Badge" BGC-026 (Rev. 07/17) which is hereby incorporated by reference.~~

~~(c) "Transfer of Work Permit Application Form" means the "Application for Transfer of Work Permit" BGC-022 (Rev. 07/17) which is hereby incorporated by reference.~~

~~(d) "Work Permit Application Form" means the "Application for Initial Regular Work Permit/Temporary Work Permit" BGC-021 (Rev. 07/17) which is hereby incorporated by reference.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code. Reference: Sections 10, 19800, 19811, 19816 and 19912, 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 operating in any position that would otherwise require licensure 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~~200.1~~. TPPPS Certificate.

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

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

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

§ 12106~~353~~. Badges~~License Content; License Display and Presentation~~.

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

(1) A photograph of the holder~~licensee,~~;

(2) The first name of the holder~~licensee~~;

(3) The license or Commission work permit number;~~ and~~

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

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

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

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

(d)(1) A cardroom employee type licensee must wear their badge at all times while on duty in the gambling establishment;~~.~~

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

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

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

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

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

Note: Authority cited: Sections 19811, 19823, 19824, 19826, 19827, 19840, 19841, 19850, 19851, 19852, 19853 ~~and~~ 19854, 19876 and 19984, Business and Professions Code. Reference: Sections 19850, 19851, 19854, 19855, ~~and~~ 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 an owner category licensee, both the employee category licensee and the owner category 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 owner category 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~~REGULAR~~ WORK PERMITS.

~~**§ 12104. Term of Work Permit.**~~

~~As provided in Business and Professions Code section 19912, a work permit issued by the Commission is valid for two years. If a temporary work permit is issued, the term of the subsequently issued regular work permit shall run from the date of the issuance of the temporary work permit.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code. Reference: Sections 10, 19800, 19811, 19816 and 19912, Business and Professions Code.~~

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

~~(a) An application for a work permit shall be denied by the Commission if either of the following applies:~~

~~(1) The applicant meets any of the criteria for mandatory disqualification under Business and Professions Code section 19859.~~

~~(2) The applicant is found unqualified pursuant to the criteria set forth in subdivisions (a) or (b) of Business and Professions Code section 19857.~~

~~(b) An application for a work permit may be denied by the Commission if it finds any of the following:~~

~~(1) Cause set forth in Business and Professions Code section 19914, subdivision (a), paragraphs (1) through (9), inclusive.~~

~~(2) Within ten years immediately preceding the submission of the application, the applicant was convicted of any of the following offenses:~~

~~(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 pertains to gambling or gambling-related activities.~~

~~(D) A misdemeanor involving a violation of the Gambling Control Act.~~

~~(E) A misdemeanor involving dishonesty or moral turpitude whether or not the applicant was granted relief pursuant to Sections 1203.4, 1203.4a, or 1203.45 of the Penal Code.~~

~~(c) The grounds for denial set forth in this section apply in addition to any grounds prescribed by statute.~~

~~(d) The criteria set forth in this section shall constitute grounds for objection to the issuance of a work permit by a city, county, or city and county pursuant to Business and Professions Code section 19912.~~

~~(e) The provisions of Business and Professions Code sections 19857, 19859, and 19914, subdivision (a) shall be deemed incorporated by reference into this regulation for the purposes set forth in this section. For the purposes of this section, the criteria incorporated by reference in these regulations from Business and Professions Code section 19914, subdivision (a), apply to conduct or events occurring prior to the filing of an application for a work permit.~~

~~Note: Authority cited: Sections 19811, 19824, 19840, 19841 and 19912, Business and Professions Code. Reference: Sections 19800, 19811, 19816, 19857, 19859, 19911, 19912 and 19914(b), Business and Professions Code.~~

§ 1211~~34~~2. Initial ~~Gambling~~ License Applications; Required Forms~~; Processing Times~~.

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

(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~~Application for State Gambling License, BGC-030 (Rev. 04/13)~~.

(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).

~~(2) Gambling Establishment Owner Applicant-Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 07/17).~~

~~(3) Gambling Establishment Owner Entity Supplemental Information for State Gambling License, BGC-APP-015B (Rev. 07/17).~~

~~(4) Gambling Establishment Supplemental Information for State Gambling License, BGC-APP-015C (Rev. 07/17).~~

(7)~~(5)~~ ~~Cardroom Applicant's~~ Spouseal Information ~~Supplemental Background Information for State Gambling License~~, ~~BGC-APP~~CGCC-CH2-12~~009A~~ (New~~Rev.~~ 05~~7~~/2017).

~~(6) Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08).~~

~~(7) Declaration of Full Disclosure, BGC-APP-005 (Rev. 11/07).~~

~~(8) Authorization to Release Information, BGC-APP-006 (Rev. 07/17).~~

~~(9) Applicant's Declaration, Acknowledgment and Agreement (Community Property Interest), BGC-APP-011 (Rev. 11/07).~~

~~(10) Applicant's Declaration, Acknowledgment and Agreement (Sole and Separate Property), BGC-APP-012 (Rev. 11/07).~~

~~(11) Spouse's Declaration, Acknowledgment and Agreement (Community Property Interest), BGC-APP-013 (Rev. 11/07).~~

~~(12) Spouse's Declaration, Acknowledgment and Agreement (Sole and Separate Property), BGC-APP-014 (Rev. 11/07).~~

~~(13) Appointment of Designated Agent, BGC-APP-008 (Rev. 07/17).~~

~~(14) Key Employee Report, BGC-LIC-101 (Rev. 07/17).~~

~~(15) Instructions to Applicant's Spouse, BGC-APP-010 (Rev. 07/17).~~

~~(16) Notice to Applicants, BGC-APP-001 (Rev. 11/07).~~

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

(8)~~(18)~~ Request for Copy of Personal Income Tax or Fiduciary Return, FTB-3516C1 (Rev. 02~~6~~/09~~3~~ side 1-PIT).

(9)~~(19)~~ Request for Copy of Corporation, Exempt Organization, Partnership, or Limited Liability Company Return, FTB-3516C1 (Rev. 11~~06~~/08~~3~~ side 2-CORP).

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

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

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

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

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

~~(4) The Commission will act on an application, pursuant to Section 12054, within 120 days after the Bureau report for that application is submitted to the Commission, except that the Commission may notify the applicant in writing that additional time, not to exceed 30 days, is needed.~~

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

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

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

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

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

(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, ~~and~~ 19841, 19850, 19912 and 19984, Business and Professions Code. Reference: Sections 19811, 19841, 19850, 19951, 19852, 19855, ~~19856, 19857,~~ 19864, 19865, 19866, 19867, 19868, 19880(d), ~~19881,~~ 19883, 19890(e), 19893, 19912, 19951, ~~and~~ 19982 and 19984, Business and Professions Code.

§ 12113~~3~~4~~5~~. Renewal~~Gambling~~ License Applications~~Renewals~~; Required Forms~~Processing Times~~.

(a) An applicant must file a complete application for a renewal ~~of a gambling~~ license or Commission work permit~~shall be timely filed by the owner-licensee~~ 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~~the~~ 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~~owner-licensee~~ and each cardroom endorsee licensee~~individual application~~ required pursuant to subsection (d)~~(b)~~ ~~shall~~ will be determined to be untimely and~~be deemed~~ delinquent.

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

(1) A completed ~~and executed~~ Application for Employee Category License, CGCC-CH2-04 (New 05/20) or Application for Owner Category License, CGCC-CH2-05 (New 05/20)~~Application for State Gambling License, BGC-030~~, as referred to in paragraph (1) of subsection (a) of Section 12113~~4~~2;

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

(2)~~(3)~~ Any applicable investigation deposit specified in Title 11, CCR, Section 2037. However, if, after a review of an application for renewal~~ of a gambling license~~, the Bureau determines that further investigation is needed, the applicant must~~shall~~ 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)~~(b)~~ Each person who~~se~~ ~~name~~ is required to be hold a cardroom endorsee license or TPPPS endorsee license~~endorsed upon the license of a particular gambling enterprise~~ must~~shall~~ complete and execute a separate application for renewal of that person's license. All applications for renewal of a cardroom endorsee license or TPPPS~~the~~ endorsee~~d~~ license~~es'~~ ~~gambling licenses for a particular gambling enterprise~~ must~~shall~~ be submitted to the Bureau together with the cardroom business license or TPPPS business license~~owner-licensee's~~ application in a single package, as provided in subsections (a) through (c), inclusive.

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

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

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

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

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

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

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

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

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

~~(f) If a licensee has not submitted a complete renewal application, including all required fees and deposits, within 10 days after the expiration date of the current license, the license shall be deemed abandoned. A license that has been deemed abandoned pursuant to this subsection shall be subject to the provisions of subsection (b) of Section 12347.~~

Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19851, 19854, ~~and~~ 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, ~~and~~ 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.

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

~~(a) While the Bureau is processing an application for a regular work permit, and subject to Section 12122, the Executive Director, or any employee of the Commission designated in writing by the Executive Director, may issue a temporary work permit pursuant to this article, which shall be valid for no more than 120 days. The duration of the temporary work permit shall not substantially exceed the estimated time to process and consider the application for a regular work permit, but may be extended if necessary; provided that in no event shall a temporary work permit be valid for more than 120 days. Any temporary work permit issued in accordance with this article shall not create a property right in its holder. In order to protect the public, each temporary work permit shall be issued subject to the conditions specified in Section 12128.~~

~~(b) Upon issuance or denial of a regular work permit by the Commission, the temporary work permit previously issued shall become void and shall not be used thereafter.~~

~~(c) If the regular work permit is not issued within 120 days of the issuance of the temporary work permit, the applicant may submit an application for a new temporary work permit to the Bureau. The Bureau shall waive the fee for the new temporary work permit upon request of the applicant.~~

~~(d) In the event that the regular work permit is issued prior to any action on the application for the temporary work permit, the application for the temporary work permit shall be deemed withdrawn and no further action will be taken on it.~~

~~(e) If an application for a temporary work permit is incomplete, the Bureau may request in writing any information needed in order to complete the application. The Bureau shall allow the applicant 30 days in which to furnish the information. If the applicant fails to respond to the request, the temporary work permit application shall be deemed abandoned and no further action will be taken on it.~~

~~(f) If the applicant submits a request for withdrawal of his or her application for a regular work permit, the application for a temporary work permit shall be deemed abandoned and no further action will be taken.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code. Reference: Sections 10, 19801(k), 19811, 19816, 19866, 19910 and 19912, Business and Professions Code.~~

§ 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.

§ 121~~2~~24. ~~Criteria for the Issuance of~~ Temporary Employee Category Licenses~~Work Permit~~.

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

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

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

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

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

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

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

(2)~~(c)~~ 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,~~work permit~~ discloses any of the~~ following:~~ mandatory grounds for disqualification specified under Section 12040;

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

(3)~~(2)~~ 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~~pertains to~~ gambling or gambling-related activities.

(D) A misdemeanor involving violations of the Act.

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

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

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

(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.

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

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

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

(6)~~(e)~~ 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.

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

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

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

~~Denial of an application for a temporary work permit or cancellation of a temporary work permit shall not suspend the processing and review of the related application for a regular work permit.~~

~~Note: Authority cited: Sections 19811(a), 19823, 19824, 19840 and 19841, Business and Professions Code; and Section 15376, Government Code. Reference: Sections 19824, 19910 and 19912, Business and Professions Code.~~

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

~~Applications for issuance of a temporary work permit by the Bureau shall be processed within the following time frames:~~

~~(a) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for filing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application.~~

~~(b) A temporary work permit shall be either granted or denied within no more than 15 working days after the filing of a complete application.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code; and Section 15376, Government Code. Reference: Sections 15375 and 15376, Government Code; and Sections 19824(f) and 19912, 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~~Work Permit~~.

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

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

(1) The Commission determines that it has received reliable information that the holder of the temporary license~~work permit~~ is ineligible under paragraphs (2) or (3) subsection (a)~~(c)~~ of Section 121~~2~~224, has failed to reveal any fact material to the holder's qualification for a temporary license~~work permit~~, 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~~work permit~~.

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

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

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

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

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

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

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

(b)~~(c)~~ If any of the circumstances set forth in subsection (a)~~(b)~~ apply~~ies~~, and the temporary license is a temporary employee category license, then the license must be summarily cancelled and the Executive Director ~~or his or her designee~~ will~~shall~~ immediately do all of the following:

(1) Notify the temporary licensee~~work permit holder~~, ~~the~~ any owner category licensee~~gambling establishment~~ that the temporary license holder is currently associated with, the local law enforcement

agency, and the Bureau, in writing, of the cancellation of the temporary license~~work permit~~ and the grounds thereof.

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

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

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

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

(2) Any proceeds derived from the operation of the business that would otherwise be payable to the holder of the temporary license must be held in an escrow account and not disbursed until the license application has received Commission approval. 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.

(3) 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 regarding temporary licenses.

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

§ 12~~20~~130. 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)~~(a) On and after March 31, 2004, in addition to the requirements of Section 12200.9(a)(1), no person may provide proposition player services or obtain a badge, as required by Section 12200.3, without a current valid registration issued by the Commission.~~ 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 [*the first of the month of the sixth month following the effective date of these regulations*].

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

(d)~~(c)~~ A TPPPS ~~R~~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~~under this article or its predecessor does not create any vested right to licensing under Article 3 of this chapter or any successor provision~~.

(e)~~(d)~~ If a TPPPS registrant~~primary owner~~ 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~~apply for~~ and obtain registration as an owner listed on the business entity's registration certificate. ~~No business entity or sole proprietor can be registered under this chapter that is also licensed under the Act to operate a gambling establishment.~~

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

(g)~~(f)~~ 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~~Registration is non-transferable~~.

(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 Bureau 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 [*the first of the month two years from the effective date of this regulation*].

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

ARTICLE 4. INTERIM OWNER CATEGORY LICENSE~~CHANGE IN PLACE OF EMPLOYMENT – WORK PERMIT TRANSFERS.~~

~~§ 12130. Change in Place of Employment – Work Permit Transfer.~~

~~(a) The holder of a currently valid regular work permit may apply for a new work permit for a different place of employment in accordance with this article.~~

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

~~(1) The applicant has applied for a work permit transfer by completing the Bureau's transfer of work permit application form, BGC-022.~~

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

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

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

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

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

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

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

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

~~(c) A work permit provided pursuant to this section shall be valid during the unexpired term of the previously issued work permit.~~

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

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code. Reference: Sections 10, 19801, 19826(a) and 19912, Business and Professions Code.~~

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

~~Applications submitted pursuant to section 12130 shall be processed within the following time frames:~~

~~(a) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for filing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application.~~

~~(b) A work permit shall be either granted or denied within no more than 15 working days after the filing of a complete application.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code; and Section 15376, Government Code. Reference: Sections 15375 and 15376, Government Code; and Sections 19824 and 19912, Business and Professions Code.~~

§ 12132~~49~~. Article Definitions~~Interim Licenses for Continued Operation Following Qualifying Events; Criteria; Processing Time; Conditions~~.

(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.~~For the purposes of this section, the following definitions apply:~~

(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~~gambling enterprise~~ or TPPPS business licensee~~individual in control of an ownership interest~~, who submits an~~makes~~ application to the Bureau for an interim owner category~~gambling~~ license pursuant to Section 12136~~subsection (c)~~.

(2) "Interim owner category~~gambling~~ license" means a license issued by the Commission which permits the interim operation of a cardroom business licensee~~gambling enterprise~~ or TPPPS business

licensee following a qualifying event, during which time the Bureau processes and the Commission considers an application for a regular ~~gambling~~ 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~~gambling enterprise~~ 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~~gambling enterprise~~ or TPPPS business licensee and prevents the cardroom business license~~gambling enterprise~~ 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 ~~gambling~~ license ~~for that gambling enterprise, as required by Business and Professions Code sections 19850, 19851, 19852 or 19855~~. 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 ~~new gambling~~ license by the Commission (e.g., a sale, the transfer of shares, incorporation, etc.).

(5) "Regular ~~gambling~~ license" means an initial cardroom owner type ~~gambling~~ license or initial TPPPS owner type license, as appropriate, issued by the Commission pursuant to Section 1211~~34~~2.

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

§ 12134. General Provisions.

(a)~~(b)~~ Subject to the provisions of the Act, this division and Title 11, Division 3, of the California Code of Regulations, a cardroom business licensee~~gambling enterprise~~ 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~~gambling enterprise~~ or TPPPS business licensee has control of the gambling operations or the provision of third-party proposition player services, as applicable, the Commission is 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~~gambling~~ license to the Bureau as provided in Section 12136~~subsection (c)~~. Gambling operations or the provision of third-party proposition player services, as applicable, must~~shall~~ be immediately terminated if the Commission denies an applicant's request for an interim owner category~~gambling~~ 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~~gambling~~ license for that cardroom business licensee~~gambling enterprise~~ or TPPPS business licensee.

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

(c)~~(h)~~ If, during the term of an interim owner category~~gambling~~ license, the Bureau~~Executive Director~~ determines that the holder of that license may be~~is~~ 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~~gambling~~ license was issued, the Bureau~~Executive Director~~ must~~shall~~ notify~~prepare~~ the Commission and the holder of the interim license~~and serve on the license holder an order to show cause as to why the interim gambling license should not be cancelled~~. The matter will be~~holder of the interim gambling license shall be given 30 days to respond in writing. After receipt of the license holder's response, or if the license holder fails to respond within the specified time, the matter shall 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~~d Commission meeting~~. 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. ~~If t~~The Commission may act~~s~~ to cancel the interim owner category~~gambling~~ license.~~, the license holder may request an evidentiary hearing, in writing, either at that meeting or within 10 calendar days following that meeting. Any evidentiary hearing shall be conducted in accordance with the applicable provisions of subsection (b) of Section 12050 of this division.~~

(d)~~(i)~~ This section does~~shall~~ 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, ~~and~~ 19870, and 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s), 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), and 19984, Business and Professions Code.

§ 12136. Applications and Required Forms.

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

(1)~~(A)~~ A complete ~~All forms, fees, and deposits for a regular gambling license~~ application for an owner category license pursuant to~~required by~~ Section~~s~~ ~~12341,~~ 12113~~4~~2~~, and Title 11, CCR, Section 2037~~;

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

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

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

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

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

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

(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, ~~and~~ 19870, and 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s), 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), and 19984, Business and Professions Code.

§ 12138. Criteria.

(a)~~(d)~~ A request for an interim owner category~~gambling~~ license will~~shall~~ be ancillary to and concurrent with an application for a regular ~~gambling~~ license. The application for a regular ~~gambling~~ license will~~shall~~ be processed in accordance with Section 1211~~34~~2. The request for an interim owner category~~gambling~~ license will~~shall~~ be processed as follows:

(1) The maximum time within which the Bureau may~~shall~~ notify the applicant in writing that a request for an interim owner category~~gambling~~ 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~~shall~~ 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~~gambling~~ license will~~shall~~ be considered abandoned and no further action will~~shall~~ be taken on the request. A cardroom business licensee~~gambling enterprise~~ or TPPPS business licensee must~~shall~~ immediately terminate gambling operations or the provision of third-party proposition player services if a request for an interim owner category~~gambling~~ license is abandoned by the applicant and no other person has applied for or been granted an interim, temporary or regular ~~gambling~~ license for that cardroom business licensee~~gambling enterprise~~ or TPPPS business licensee.

(2) Once the Bureau determines that a request for an interim owner category~~gambling~~ license is complete, the matter will~~shall~~ 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~~shall~~ grant or deny the request for an interim owner category~~gambling~~ license within 60 calendar days after receipt of the request. A request for an interim owner category~~gambling~~ license will~~shall~~ 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)~~(e)~~ All of the following criteria will~~shall~~ apply to a request for an interim owner category~~gambling~~ licensee:

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

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

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

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

§ 12140. Conditions.

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

(a)~~(1)~~ Upon issuance or denial of a regular ~~gambling~~ license, any related interim owner category~~gambling~~ license will~~shall~~ become invalid.

(b)~~(2)~~ The term of an interim owner category~~gambling~~ license will~~shall~~ be determined by the Commission and will~~shall~~ be based in part on the time necessary to process and consider the application for a regular ~~gambling~~ license~~.~~, but in no event will the term be longer than two years. The Commission may issue a renewal interim 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)~~(3)~~ Issuance of an interim owner category~~gambling~~ license does not prejudice or obligate the Commission to grant a regular ~~gambling~~ license. Issuance of a regular owner category~~gambling~~ 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~~gambling~~ license, and final approval of the Commission pursuant to Sections 12113~~34~~2 and 1203~~3~~40~~6~~.

(d)~~(4)~~ Issuance of an interim owner category~~gambling~~ license does not create a vested right in the holder to either an extension of the interim owner category~~gambling~~ license or the issuance of a regular ~~gambling~~ license.

(e)~~(5)~~ Issuance of an interim owner category~~gambling~~ license does not change the qualification, or disqualification, requirements for a regular ~~gambling~~ license under the Act or this division.

(f)~~(6)~~ 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~~gambling~~ license must~~shall~~ provide the Bureau with the name of any new~~ly appointed~~ 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 categorygambling license mustshall also provide the Bureau with the name of any person who provides any service or property to the cardroom business licenseegambling enterprise or TPPPS business licensee under any arrangement whereby the person receives payment based on the earnings, profits or receipts of the cardroom business licenseegambling enterprise or TPPPS business licensee.

(g)(7) The holder of an interim owner categorygambling license mustshall pay all applicable annual fees associated with the licensea regular gambling license.

(h)(8) The holder of an interim owner categorygambling license mustshall comply with the provisions of the Act, this division and Title 11, Division 3, of the California Code of Regulations.

(i)(9) During the term of an interim owner categorygambling license, any proceeds derived from the operation of the gambling enterprise that would otherwise be payable to a new owner mustshall 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 licenseesowners of the gambling enterprise have been approved by the Commission for a regular gambling license pursuant to Section 12113342. This paragraph doesshall not prevent the payment of any taxes, operating expenses, preexisting obligations, preexisting dependeant support or any other distribution of proceeds that is approved by the Commission.

(j)(10) 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 categorygambling license.

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

ARTICLE 5. SURRENDER OR ABANDONMENT OF CARDROOM BUSINESS LICENSEReplacement Work Permit Badges.

§ 12140. Replacement Work Permit Badges.

(a) The Bureau shall provide a replacement work permit badge to a gambling enterprise employee if all of the following conditions are met:

(1) The applicant has previously been issued a currently valid work permit.

(2) The applicant has applied for a replacement work permit badge by completing the Bureau's replacement badge application, BGC-026.

(3) The applicant has supplied all of the following to the Bureau:

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

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

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

~~(D) Information concerning the gambling establishment for which the replacement badge is requested: the name of the gambling establishment, mailing address, voice telephone number, facsimile number (if any), e-mail address (if any), the job title of the position, and the name of the owner, authorizing agent, or hiring authority of the establishment.~~

~~(4) The Bureau is not aware of any cause for revocation of the work permit.~~

~~(b) A replacement work permit badge provided pursuant to this section shall be valid during the unexpired term of the previously issued work permit.~~

~~(c) Upon the providing of the replacement work permit badge, the previous work permit badge for that gambling establishment shall become void and shall not be used thereafter.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code. Reference: Sections 10, 19801, 19826(a) and 19912, Business and Professions Code.~~

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

~~Applications submitted pursuant to section 12140 shall be processed within the following time frames:~~

~~(a) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for filing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application.~~

~~(b) A replacement work permit badge shall be either provided or denied within no more than 15 working days after the filing of a complete application.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code; and Section 15376, Government Code. Reference: Sections 15375 and 15376, Government Code; and Sections 19824 and 19912, Business and Professions Code.~~

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

(a) A~~n~~ cardroom business ~~owner~~ licensee may propose to surrender their cardroom business~~a state gambling~~ license at any time prior to expiration. In order to propose the surrender of a cardroom business license, the cardroom business ~~owner~~ licensee must submit a written request to the Commission, with a copy to the Bureau. A proposed surrender will~~shall~~ be agendized for consideration at the next available Commission meeting. Each proposed surrender will~~shall~~ be considered on its merits by the Commission. A proposed surrender is not effective unless and until the surrender is accepted by the Commission. A proposed surrender may be rejected if the Commission determines that acceptance would not be in the

public interest, for example, if the cardroom business~~owner~~ licensee is currently under investigation or if disciplinary action has been initiated.

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

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

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

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

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

§ 121~~3~~4~~8~~4. Cardroom Business License~~State Gambling Licenses~~: Prior Surrender or Abandonment.

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

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

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

(3) The applicant must~~shall~~ submit a complete application~~all applicable forms~~ for an initial cardroom business license~~application required~~ pursuant to Section 1211~~3~~42~~, all fees and deposits required for an initial application required by Section 12341 and Title 11, California Code of Regulations, Section 2037~~, and all documentation required by subsection (b) within 12 months of the effective date of this section.

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

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

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

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

(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.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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 2.1. Third-Party PROVIDERS OF Proposition Player Services: REGISTRATION; LICENSING~~.

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

~~§ 12200. Definitions.~~

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

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

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

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

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

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

~~(5) [RESERVED]~~

~~(6) [RESERVED]~~

~~(7) [RESERVED]~~

~~(8) [RESERVED]~~

~~(9) [RESERVED]~~

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

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

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

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

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

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

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

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

~~(11) [RESERVED]~~

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

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

~~1. Primary owner,~~

~~2. Owner,~~

~~3. Supervisor, and~~

~~4. Player.~~

~~(B) All "other employees" (as defined in this section) must be required to submit an application and be approved or denied based upon the same criteria that apply to a player.~~

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

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

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

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

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

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

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

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

~~(C) Any funding source.~~

~~(17) "Primary Owner" means the owner specified in subparagraph (A) of paragraph (16) of this subsection.~~

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

~~(19) "Proposition player contract" or "contract" means a written contract, the terms of which have been reviewed and approved by the Bureau, between the holder of a state gambling license and a primary~~

~~owner acting as an independent contractor for the provision of third-party proposition player services in the gambling establishment.~~

~~(20) "Rebate" means a partial return by an authorized~~ proposition ~~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.~~

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

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

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

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

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

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

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

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

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

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

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

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

~~(26) "Third-party proposition player services" or "proposition player services" means services provided in and to the house under any written, oral, or implied agreement with the house, which services include play as a participant in any controlled game that has a rotating player-dealer position as permitted by Penal Code section 330.11. "Proposition player services" also includes the services of any supervisors, as specified in paragraph (26) of this subsection.~~

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

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

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

~~§ 12200.3. Badge.~~

~~(a) All individuals licensed or registered as primary owners, owners, supervisors, players, or other employees of the primary owner shall wear in a prominently visible location a numbered badge issued by the Commission when present in a gambling establishment during the provision of proposition player services under the proposition player contract that covers the licensee or registrant.~~

~~(b) A badge authorizing play in a controlled game shall be of a distinctly different color than a badge that identifies a registrant or licensee, but does not authorize play. If an individual ceases to be employed by or affiliated with a particular primary owner, that individual shall surrender his or her badge to the primary owner. The primary owner shall notify the Bureau in writing within ten (10) days of the change in status using the Bureau's Change in Status Form for a Third Party Proposition Player Services Registration (BGC-441 (Rev. 10/17)), which is hereby incorporated by reference; with this form, the primary owner shall submit the registrant's or licensee's badge.~~

~~(c) The words "TPP PLAYER REGISTRANT," "NON-PLAYER TPP REGISTRANT," "TPP PLAYER LICENSEE," OR "NON-PLAYER TPP PLAYER LICENSEE" in capital letters shall be prominently displayed on the front of the badge. The first name of the registrant or licensee shall appear on the front of the badge. The full name of the registrant or licensee shall be printed on the reverse side of the badge, together with the registrant's or licensee's category of registration or licensing as an owner, supervisor, player, or other employee.~~

~~(d) On the front of the badge, there shall be displayed the picture of the registrant or licensee submitted with the application, the badge number, and expiration date. On the front of the badge, there~~

~~shall be displayed the name of the primary owner employing the registrant or licensee, which shall be the fictitious business name, if any, established pursuant to Chapter 5 (commencing with Section 17900) of Part 3 of Division 7 of the Business and Professions Code.~~

~~(e) Upon renewal of each registration and upon issuance of each registration or license, authorized players shall be issued a badge of one color; individuals not authorized to play shall be issued a badge of a distinctly different color. Any non-player badge issued prior to July 1, 2004, shall be re-issued upon renewal pursuant to subsection (b), so that each registrant receives either a player or non-player badge.~~

~~(f) An individual registered or licensed as a player with a particular primary owner shall apply for and obtain a new badge pursuant to Section 12200.6 before beginning to work for an additional or different primary owner.~~

~~(g) Registrations, licenses, and badges are specific to the primary owner. Third party proposition player services cannot be provided without first applying for and obtaining a registration, license, or badge.~~

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

~~§ 12200.5. Replacement of Badge.~~

~~(a) Upon submission of a request, the Bureau shall provide a replacement badge if all of the following conditions are met:~~

~~(1) The requester has a current valid registration or license.~~

~~(2) The request is complete and has been submitted on the Bureau's form Request for Replacement Third Party Proposition Player Services Badge (BGC-438 (Rev. 10/17)), which is hereby incorporated by reference.~~

~~(3) The requester has supplied all of the following to the Bureau:~~

~~(A) A nonrefundable twenty-five dollar ($25) fee, payable to the Bureau.~~

~~(B) The category of the position and information concerning the primary owner for which the replacement badge is requested: the name of the primary owner, mailing address, voice telephone number, facsimile number (if any), and email address (if any).~~

~~(C) A statement under penalty of perjury that a replacement badge is needed due to a name change or to loss or destruction of the originally issued badge.~~

~~(b) A replacement badge provided pursuant to this section shall be valid during the unexpired term of the previously issued registration or license.~~

~~(c) Upon the providing of the replacement badge, the previous badge for that third-party proposition services provider shall become void and shall not be used.~~

~~(d) Replacement badges shall be provided by the Bureau within seven (7) days of receipt of a complete request.~~

~~Note: Authority cited: Sections 19826, 19827, 19840, 19841 and 19984, Business and Professions Code. Reference: Sections 19826, 19864 and 19984, Business and Professions Code.~~

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

~~(a) Upon submission of a request, the Bureau shall provide a player transfer badge, reinstatement badge, or additional badge if all of the following conditions are met:~~

~~(1) The requester has a currently valid registration or license.~~

~~(2) The request is complete and has been submitted on the Bureau's form Request for an Additional/Transfer/Reinstatement Third Party Proposition Player Services Registration/License (BGC-439 (Rev. 07/17)), which is hereby incorporated by reference.~~

~~(3) The requester has supplied all of the following to the Bureau:~~

~~(A) A nonrefundable one hundred and twenty-five dollar ($125) fee payable to the Bureau.~~

~~(B) The names as applicable of the current and future primary owner (or previous owner or additional owner), mailing address, voice telephone number, facsimile number (if any), and email address (if any).~~

~~(b) A badge provided pursuant to this section shall be valid during the unexpired term of the previously issued registration or license.~~

~~(c) Upon the providing of the transfer badge, the previous badge for that third-party proposition services provider shall become void and shall not be used.~~

~~(d) Transfer, additional, and reinstatement badges shall be provided by the Bureau within seven (7) days of receipt of a complete request.~~

~~Note: Authority cited: Sections 19826, 19827, 19840, 19841 and 19984, Business and Professions Code. Reference: Sections 19826, 19864 and 19984, Business and Professions Code.~~

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

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

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

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

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

~~(a) Each licensed primary owner shall submit to the Bureau, pursuant to the schedule specified in subsection (a) of Section 12200.20, a completed Bureau form Third Party Proposition Player Services Employee Report (BGC-440 (Rev. 10/17)), which is hereby incorporated by reference. Upon renewal of the license, each licensed primary owner shall submit an updated organization chart to the Bureau.~~

~~(b) Upon renewal of the registration, each registered primary owner shall submit an updated organization chart and a completed Bureau form Third Party Proposition Player Services Employee Report (BGC-440) to the Bureau.~~

~~(c) The primary owner shall notify the Bureau in writing within ten (10) days of any change to its ownership structure.~~

~~Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections 19826, 19864 and 19984(b), Business and Professions Code.~~

~~§ 12200.18. Revocation.~~

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

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

~~(b) Any act or omission by the registrant that would disqualify the registrant from obtaining registration under this chapter. Any act or omission by the licensee that would disqualify the licensee from obtaining licensing under this chapter.~~

~~(c) The registrant or licensee engaged in any dishonest, fraudulent, or unfairly deceptive activities in connection with controlled gambling, including any violation of laws related to cheating.~~

~~(d) The registrant or licensee failed or refused to comply with the requirements of Section 12003.~~

~~(e) The registrant or licensee failed or refused to comply with the requirements of Section 12200.14 (Organization Chart and Employee Report).~~

~~(f) The registrant or licensee concealed or refused to disclose any material fact in any inquiry by the Bureau or the Commission.~~

~~(g) The registrant or licensee committed, attempted, or conspired to commit any embezzlement or larceny against a gambling licensee or proposition player registrant or on the premises of a gambling establishment.~~

~~(h) The registrant or 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 by the registrant or licensee.~~

~~(i) The registrant or licensee buys or sells chips other than to or from the house, except for exchanging with a patron chips of one denomination for chips of another denomination.~~

~~(j) The registrant or licensee lends money or chips to gambling establishment patrons, except for exchanging with a patron chips of one denomination for chips of another denomination.~~

~~(k) The registrant or licensee made wagers that were not specifically authorized by the game rules approved by the Bureau.~~

~~(*l*) Any owner knowingly permitted one or more of the owner's supervisors or players to commit any act described in subsections (a) to (k), inclusive.~~

~~(m) Any owner knew, or failed to implement reasonable oversight procedures that would have apprised the owner, that one or more of the registrants or licensees was in violation of one or more provisions of this chapter or of the Act and failed or refused to take action to prevent the recurrence of the violation or violations.~~

~~(n) The registrant or licensee provided proposition player services to a gambling establishment without a Bureau-approved contract on and after April 30, 2004.~~

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

~~ARTICLE 2. REGISTRATION.~~

~~§ 12202. Application for Registration.~~

~~(a) The application for registration shall designate whether the registration is requested as a primary owner, owner, supervisor, player, or other employee. The application shall be signed by both the individual applicant and the designated agent, or, if the applicant is a business entity, by the chief executive officer or other designated officer of the business entity.~~

~~(b) An application for registration shall include all of the following:~~

~~(1) Payment of a nonrefundable application fee in the amount specified in paragraph (1) of section (d) of Section 12008.~~

~~(2) A completed Bureau Application for Third Party Proposition Player Services Registration (BGC-435 (Rev. 10/17)), which is hereby incorporated by reference.~~

~~(3) A properly completed Request for Live Scan Service (California Department of Justice Form BCII 8016, rev. 4/01) for an applicant that is an individual, confirming that the applicant's fingerprints have been submitted to the BCII for an automated background check and response.~~

~~(4) Two 2x2 inch color passport-style photographs of an applicant that is an individual taken no more than one (1) year before submission of the application to the Bureau.~~

~~(c) An applicant that is an individual shall complete and submit the Bureau form Third Party Proposition Player Services Registration Supplemental Information (BCC-436 (Rev. 07/17)), which is hereby incorporated by reference.~~

~~(d) An applicant for registration or for any approval required by this chapter shall make full and true disclosure of all information to the Bureau as required for the application and as requested by the Commission or Bureau to carry out the policies of this state relating to controlled gambling.~~

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

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

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

~~(b) Upon determination that an application for registration is complete, the application shall be processed by the Bureau within 60 days and the Executive Director shall either issue the registration and badge applied for or shall notify the applicant of denial and the grounds therefor under Section 12204.~~

~~(c) If the applicant submits a request for withdrawal of his or her application to the Commission, the application shall be deemed abandoned and no further action will be taken on it.~~

~~(d) The Bureau shall provide written notice of abandonment of an application to the applicant and the Commission. If the application is for registration as a supervisor, player, or other employee, the Bureau shall also provide written notice of abandonment of the application to the primary owner.~~

~~(e) Nothing in this chapter shall require the Commission or Bureau to divulge to the applicant any confidential information received from any law enforcement agency or any information received from any person with assurances that the information would be maintained as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any information that might reveal the identity of any source of information or jeopardize the safety of any person.~~

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

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

~~(a) Renewal applications for owners shall be received no later than 120 days prior to the expiration of the current registration, together with the application fee specified in paragraph (1) of subsection (d) of Section 12008. If an application is received after this 120-day deadline, an expedited processing fee of sixty dollars ($60) shall be submitted with the application. If an expedited processing fee is due but has not been received, a registration renewal shall not be issued.~~

~~(b) Renewal applications for supervisors, players, and other employees shall be received no later than 90 days prior to the expiration of the current registration, together with the application fee specified in paragraph (1) of subsection (d) of Section 12008. If an application is received after this 90-day deadline, an expedited processing fee of sixty dollars ($60) shall be submitted with the application. If an expedited processing fee is due but has not been received, a registration renewal shall not be issued.~~

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

~~(d) Upon determination that an application for renewal of registration is complete, the application shall be processed by the Bureau within 60 days and the Executive Director shall either issue the registration and badge applied for or shall notify the applicant of denial and the grounds therefor under Section 12204.~~

~~(e) The Bureau shall provide written notice of abandonment of an application to the applicant and the Commission. If the application is for registration as a supervisor, player, or other employee, the Bureau shall also provide written notice of abandonment of the application to the primary owner.~~

~~(f) If the applicant submits a request for withdrawal of his or her application to the Bureau, the application shall be deemed abandoned and no further action will be taken on it.~~

~~(g) Nothing in this chapter shall require the Commission or Bureau to divulge to the applicant any confidential information received from any law enforcement agency or any information received from any person with assurances that the information would be maintained as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any information that might reveal the identity of any source of information or jeopardize the safety of any person.~~

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

~~§ 12203.1. Temporary Player Registration.~~

~~(a) While an application for regular player registration is being processed, and subject to Section 12203.2, the Executive Director may issue a temporary registration pursuant to this section, which shall be valid for no more than 60 days.~~

~~(b) Upon issuance of a regular registration, the temporary registration previously issued to the registrant shall become void and shall not be used thereafter.~~

~~(c) In the event that the regular registration is issued prior to Commission action on the application for the temporary registration, the application for the temporary registration shall be deemed withdrawn and no further action will be taken on it.~~

~~(d) If an application for a regular registration is withdrawn, the application for a temporary registration shall be deemed abandoned and the Commission will take no further action on it.~~

~~(e) If Family Code section 17520 (child and family support) is applicable to an application, then a temporary registration shall be issued for 150 days as provided in the Family Code.~~

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

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

~~The Executive Director shall, within 15 days of the Bureau processing a complete application, issue a temporary player registration valid for 60 days (or 150 days if Family Code section 17520 applies) if all of the following requirements are met:~~

~~(a) The applicant has applied for a temporary player registration by completing the Bureau's regular registration application form, BGC-435, referenced in Section 12202, requesting issuance of a temporary registration by checking the appropriate box on the application form, and submitting with the application a nonrefundable temporary registration fee specified in paragraph (2) of subsection (d) of Section 12008, in addition to the regular registration fee specified in paragraph (1) of subsection (d) of Section 12008.~~

~~(b) The applicant has supplied to the Bureau all the documentation and fees required for a regular registration.~~

~~(c) Neither the application in its entirety, nor the results of the review of the applicant's criminal history up until the date of issuance of the temporary registration, discloses any of the following:~~

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

~~(2) The applicant has, within the ten (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 pertains to gambling or gambling related activities.~~

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

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

~~(3) The applicant has had an application for a gambling license, work permit, proposition player registration, proposition player license, gambling business registration, or gambling business license denied.~~

~~(4) The applicant has had a gambling license, work permit, proposition player registration, proposition player license, gambling business registration, or gambling business license revoked.~~

~~(5) The applicant is disqualified under the Act or other provisions of law from holding a temporary registration.~~

~~(d) The review of the applicant's criminal history has resulted in one of the following:~~

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

~~(2) No response from the BCII or Federal authorities has been received within the time period set forth in subsection (b) of Section 12203.3.~~

~~(e) The application and other information obtained during the review does not disclose any factor indicating that approval of the temporary registration may in the judgment of the Executive Director present a danger to the public or to the reputation of controlled gambling or proposition playing in this state.~~

~~(f) The applicant is not ineligible under Business and Professions Code section 19859, subdivisions (b), (e), (f), or (g), the terms of which are incorporated by reference and hereby expressly made applicable to applications for temporary player registrations.~~

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

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

~~Applications for issuance of a temporary player registration by the Bureau shall be processed within the following time frames:~~

~~(a) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for filing, or that an application or a~~

~~resubmitted application is deficient and identifying what specific additional information is required, is five (5) working days.~~

~~(b) A temporary registration shall be either granted or denied within no more than 15 working days after the filing of a completed application, unless a regular registration has already been approved.~~

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

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

~~(a) Any temporary registration issued in accordance with this article shall be subject to summary cancellation pursuant to subsections (b) and (c) of this section.~~

~~(b) A temporary registration shall be cancelled by the Executive Director at any time if any of the following applies:~~

~~(1) The Commission determines that it has received reliable information that the holder of the temporary registration is ineligible under subsection (c) of Section 12203.2, has failed to reveal any fact material to the holder's qualification for temporary registration, or has supplied information to the Commission that is untrue or misleading as to a material fact pertaining to the criteria for issuance of temporary registrations.~~

~~(2) The applicant's regular registration application is referred by a vote of the Commission for an evidentiary hearing pursuant Business and Professions Code section 19825, and the Commission directs the Executive Director to cancel the temporary registration.~~

~~(3) The Executive Director receives from the applicant a request to withdraw his or her application for regular registration.~~

~~(c) If any of the circumstances set forth in subsection (b) applies, then the Executive Director shall immediately do all of the following:~~

~~(1) Notify the temporary registration holder, the primary owner, the contracted gambling establishment, and the Bureau in writing of the cancellation of the temporary registration and the grounds for cancellation.~~

~~(2) Notify the temporary registrant that he or she is required to surrender the temporary registration badge to the Commission not more than ten (10) days following the date that the notice of cancellation was mailed or such greater time as is authorized by the Executive Director.~~

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

~~§ 12204. Ineligibility for Registration.~~

~~An applicant will be ineligible for registration for any of the following causes:~~

~~(a) An individual applicant is under the age of 21.~~

~~(b) The applicant has been convicted of any felony, including a conviction in a court of the United States or any other state of an offense that is classified as a felony by the laws of this state.~~

~~(c) The applicant has, within the ten (10) year period immediately preceding the submission of the application, been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities prohibited by Chapter 9 (commencing with section 319) or Chapter 10 (commencing with section 330) of Title 9 of Part 1 of the Penal Code, violations of the Act, or dishonesty or moral turpitude, not including convictions which have been expunged or dismissed as provided by law.~~

~~(d) If the application is for registration as an owner, supervisor, or player, the applicant has been subject to a final administrative or judicial adjudication revoking a registration under this chapter or a state gambling license, key employee license, work permit or finding of suitability or has had an application denied under this chapter or the Act.~~

~~(e) The applicant would be ineligible for a state gambling license under any of the criteria set forth in Business and Professions Code section 19859, subdivisions (b), (c), or (f).~~

~~(f) The applicant would be ineligible for a state gambling license under Business and Professions Code section 19858.~~

~~(g) The applicant has violated one or more of the prohibitions set forth in paragraphs (5), (11), or (19) of subsection (b) of Section 12200.7 or paragraphs (1) and (3) of subsection (c) of Section 12200.7.~~

~~(h) The applicant has failed to comply with one or more of the requirements set forth in paragraphs (8), (9), (14), (15), (16), (17), and (20) of subsection (b) of Section 12200.7 or in paragraph (2) of subsection (c) or subsection (e) of Section 12200.7.~~

~~(i) The applicant is ineligible based on any other provision of law.~~

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

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

~~(a) Any regular registration issued in accordance with this chapter shall be subject to cancellation pursuant to this section. A registration shall be cancelled if the Commission determines after a noticed hearing that the registrant is ineligible for registration, has failed in the application for registration to reveal any fact material to the holder's qualification for registration, or has supplied information in the registration application that is untrue or misleading as to a material fact pertaining to the criteria for issuance of registration.~~

~~(b) If the Commission finds that any of the circumstances set forth in subsection (a) apply, then the Executive Director shall immediately do all of the following:~~

~~(1) Provide written notice to the registrant and the Bureau of the cancellation of the registration and the grounds thereof, and provide written notice of the cancellation to the owner, if the registrant is a~~

~~supervisor, player, or other employee and to any gambling establishment in which the registrant provides proposition player services.~~

~~(2) Notify the registrant, if an individual, that he or she is required to surrender the registrant's badge to the Commission not more than ten days following the date that the notice of the cancellation was mailed or such greater time as is authorized by the Executive Director.~~

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

~~§ 12205.1. Transition to Licensing.~~

~~(a) As expeditiously as possible in light of available program resources, the Bureau shall summon persons registered as primary owners, owners, supervisors, players, and other employees for the purpose of applying for licenses under this chapter. The registration of any registrant that fails or refuses to submit the applicable Application for Third Party Proposition Player Services License for Business Entities and Owners (BGC-433 (Rev. 10/17)) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (BGC-434 (Rev. 08/18)), which are hereby incorporated by reference, including any fees to the Bureau within 30 days of receiving a summons shall expire by operation of law on the following day. Prior to and during review of a request to convert a registration to a license, a registration shall remain valid and may be renewed by the registrant as necessary, upon application and approval of renewal of registration as provided in Section 12203A.~~

~~(b) Any person who became affiliated with a primary owner following receipt of a summons from the Bureau shall apply for registration pursuant to this chapter and shall be called forward by the Bureau expeditiously.~~

~~(c) If the registration expires by operation of law, the former registrant shall submit a new Application for Third Party Proposition Player Services License for Business Entities and Owners (BGC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (BGC-434), which are referenced in subsection (a), and a new nonrefundable application fee as specified in paragraph (1), and the applicable additional fee specified in paragraph (3), (4), or (5) of subsection (d) of Section 12008.~~

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

~~ARTICLE 3. LICENSING.~~

~~§ 12218. Request to Convert Registration to License.~~

~~(a) A request to convert a registration to a license shall be submitted to the Bureau only in response to a written summons to a primary owner pursuant to Section 12205.1. Each primary owner's request shall be accompanied by the requests of all affiliated owners, supervisors, players, and other employees.~~

~~(b) The request to convert a registration to a license shall designate whether the license is requested as a primary owner, owner, supervisor, player, or other employee. The request shall be signed by the individual requester or, if the requester is a business entity, by the chief executive officer or other designated officer of the business entity.~~

~~(c) The request to convert a registration to a license shall include all of the following:~~

~~(1) A completed Application for Third Party Proposition Player Services License for Business Entities and Owners (BGC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (BGC-434), referenced in Section 12205.1.~~

~~(2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08), referenced in Section 12342 of this division.~~

~~(3) The applicable nonrefundable application fee in the amount specified in subsection (d) of Section 12008.~~

~~(4) Two 2x2 inch color passport-style photographs of a requester that is an individual taken no more than one year before submission of the request to the Bureau.~~

~~(5) The supplemental information package as defined in Section 12200(b).~~

~~(6) A 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 sections 19867 and 19984(c).~~

~~(7) A copy of the summons issued by the Bureau.~~

~~(d) Nothing in this chapter shall require the Commission or Bureau to divulge to the requester any confidential information received from any law enforcement agency or any information received from any person with assurances that the information would be maintained as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any information that might reveal the identity of any source of information or jeopardize the safety of any person.~~

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

~~§ 12218.1. Subsequent Registrants.~~

~~After a primary owner is licensed, the summons previously issued to that primary owner by the Bureau shall be deemed to apply to all subsequent registrants who become affiliated with that primary owner subsequent to licensure.~~

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

~~§ 12218.7. Processing Times – Request to Convert Registration to License.~~

~~A request to convert a registration to license submitted pursuant to this chapter will be processed within the following timeframes:~~

~~(a) The maximum time within which the Bureau shall notify the applicant in writing that a request or a resubmitted request is complete and accepted for initial processing, or that a request or a resubmitted request is deficient and identifying what specific additional information is required, is 20 days after receipt of the request. For the purposes of this section, "request" means the Application for Third Party Proposition Player Services License for Business Entities and Owners (BGC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (BGC-434), referenced in Section 12205.1. A request is not complete unless accompanied by *both* a copy of the summons from the Bureau setting a deadline for filing the request and the supplemental information package required by Section 12218(c)(5) for review by the Bureau pursuant to subsection (b) for persons affiliated with the primary owner to whom the summons was addressed.~~

~~(b) The Bureau shall review the supplemental information package submitted for completeness and notify the applicant of any deficiencies in the supplemental information package, or that the supplemental information package is complete, within 45 days of the date that the request and supplemental information package are received by the Bureau. Notwithstanding this subsection, subsequent to acceptance of the supplemental information package as complete, the Bureau may, pursuant to Business and Professions Code section 19866, require the requester to submit additional information.~~

~~(c) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent practicable, submit its recommendation to the Commission within 180 days after the date the Bureau is in receipt of both the completed request and the completed supplemental information package pursuant to subsection (a). If the Bureau has not concluded its investigation within 180 days, then it shall inform the applicant and the Commission in writing of the status of the investigation and shall also provide the applicant and the Commission with an estimated date on which the investigation may reasonably be expected to be concluded.~~

~~(d) The Commission will act on the request, pursuant to Section 12054, within 120 days after the Bureau report for that application is submitted to the Commission, except that the Commission may notify the applicant in writing that additional time, not to exceed 30 days, is needed.~~

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

~~§ 12218.8. License Renewals.~~

~~(a) An application for renewal of a license shall be filed by the primary owner, owner, supervisor, player, and other employee with the Bureau no later than 120 days prior to the expiration of the current license. Each application for the renewal of a license shall be accompanied by all of the following:~~

~~(1) A completed Application for Third Party Proposition Player Services License for Business Entities and Owners (BGC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (BGC-434), referenced in Section 12205.1.~~

~~(2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08), referenced in Section 12342 of this division.~~

~~(3) The applicable nonrefundable application fee in the amount specified in subsection (d) of Section 12008.~~

~~(b) Each owner whose name is required to be endorsed upon the license of the primary owner shall submit a separate application for renewal of that individual's or entity's license, together with the application fee specified in subsection (a).~~

~~(c) The Bureau may conduct an investigation of a primary owner and each owner whose name is required to be endorsed upon the license of the primary owner; and any licensed supervisor, player, or other employee identified in the notice issued by the Bureau. Within 15 days of receipt of a notice issued by the Bureau, those identified in the notice must submit a supplemental package pursuant to Section 12200(b)(27) and a sum of money that, in the judgment of the Chief of the Bureau, will be adequate to pay anticipated investigation and processing costs, in accordance with Business and Professions Code section 19867 and 19984.~~

~~Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections 19823, 19824, 19851, 19867, 19876, 19951 and 19984, Business and Professions Code.~~

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

~~(a) Except as provided in subsection (b), renewal license applications submitted pursuant to Section 12218.8 shall be processed within the following timeframes:~~

~~(1) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for initial processing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is 10 working days after receipt of the application. For the purposes of this section, "application" means either of the two forms specified in paragraph (1) of subsection (a) of Section 12218.8, as applicable.~~

~~(2) If the Bureau conducts an investigation, it shall submit a written report concerning the renewal application to the Commission no later than 45 days prior to the expiration of the current license, unless~~

~~that application is filed with the Bureau less than the 120 days prior to the expiration of the current license.~~

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

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

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

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

~~Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections 19824, 19868, 19876 and 19984, Business and Professions Code.~~

~~§ 12218.11. Ineligibility for Licensing.~~

~~A requester shall be ineligible for licensing for any of the following causes:~~

~~(a) An individual applicant is under the age of 21.~~

~~(b) The requester has been convicted of any disqualifying felony under Business and Professions Code section 19859, subdivision (c).~~

~~(c) The requester has, within the ten (10) year period immediately preceding the submission of the request to convert, been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities prohibited by Chapter 9 (commencing with section 319) or Chapter 10 (commencing with section 330) of Title 9 of Part 1 of the Penal Code, violations of the Act, or dishonesty or moral turpitude, unless the applicant has been granted relief pursuant to Penal Code section 1203.4, 1203.4a, or 1203.45, provided, however, that the granting of relief pursuant to Penal Code section 1203.4, 1203.4a, or 1203.45 shall not constitute a limitation on the discretion of the Commission.~~

~~(d) If the request to convert is for licensing as an owner, supervisor, or player, the requester has been subject to a final administrative or judicial adjudication revoking a registration or license under this chapter or a state gambling license, key employee license, work permit or finding of suitability or has had an application denied under this chapter or the Act.~~

~~(e) The requester has failed to meet the requirements of Business and Professions Code sections 19856 or 19857.~~

~~(f) The requester would be ineligible for a state gambling license under any of the criteria set forth in Business and Professions Code section 19859, subdivisions (b), (e), or (f).~~

~~(g) The requester would be ineligible for a state gambling license under Business and Professions Code section 19858.~~

~~(h) The requester has violated one or more of the prohibitions set forth in paragraphs (5), (11) and (20) of subsection (b) of Section 12200.7 or paragraphs (1) and (3) of subsection (c) of Section 12200.7.~~

~~(i) The requester has failed to comply with one or more of the requirements set forth in paragraphs (8), (9), (15), (16), (17), (18) or (21) of subsection (b) of Section 12200.7 or in paragraph (2) of subsection (c) of Section 12200.7.~~

~~(j) The applicant is ineligible based on any other provision of law.~~

~~Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections 19859 and 19984, Business and Professions Code.~~

~~§ 12218.13. Term of License.~~

~~All initial and renewal licenses shall be issued for a period of two (2) years.~~

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

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

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

~~§ 12220. 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) "Additional Badge" means a badge provided by the Commission pursuant to Section 12220.6 which authorizes an individual registrant or licensee to be simultaneously employed by more than one primary owner.~~

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

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

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

~~(5) [Reserved]~~

~~(6) [Reserved]~~

~~(7) [Reserved]~~

~~(8) [Reserved]~~

~~(9) [Reserved]~~

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

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

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

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

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

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

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

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

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

~~(12) [Reserved]~~

~~(13) "License" means a license issued by the Commission pursuant to Article 3 of this chapter.~~

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

~~1. Primary owner,~~

~~2. Owner,~~

~~3. Supervisor, and~~

~~4. Player.~~

~~(B) All "other employees" (as defined in this section) will be required to submit an application and be approved or denied based upon the same criteria that apply to a player.~~

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

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

~~(14) "Licensee" means a person having a valid license.~~

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

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

~~(17) "Owner" includes all of the following:~~

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

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

~~(C) Any funding source.~~

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

~~(19) "Primary Owner" means the owner specified in subparagraph (A) of paragraph (17) of this subsection.~~

~~(20) "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.~~

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

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

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

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

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

~~(23) "Reinstatement Badge" means a badge provided to a player, a supervisor, or an "other employee" pursuant to Section 12220.6 which authorizes an individual registrant or licensee who has ceased to be employed by a primary owner to return to work for that primary owner.~~

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

~~(25) "Supplemental information package" means all of the documentation and deposits required by each of the following forms, which are referenced in paragraph (25) of subsection (b) of Section 12200, to be submitted to the Bureau in response to a summons issued by the Bureau pursuant to Section 12225.1.~~

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

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

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

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

~~(26) "Transfer Badge" means a badge provided pursuant Section 12220.6 which authorizes an individual registrant or licensee to work as an employee or independent contractor for a subsequent primary owner after having ceased to work for an initial primary owner.~~

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

~~§ 12220.1. Certificate.~~

~~(a) The Commission shall issue a registration or license certificate with an expiration date, as applicable, to each primary owner.~~

~~(b) The Commission shall endorse upon each certificate the names of all other owners affiliated with the primary owner.~~

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

~~§ 12220.3. Badge.~~

~~(a) All individuals registered or licensed as primary owners, owners, supervisors, players, or other employees of the primary owner shall wear in a prominently visible location a numbered badge issued by the Commission when present in a gambling establishment during the operation of the gambling business.~~

~~(b) A badge authorizing play in a controlled game shall be of a distinctly different color than a badge that identifies a registrant or licensee, but does not authorize play. If an individual ceases to be employed by or affiliated with a particular primary owner, that individual shall surrender his or her badge to the primary owner. The primary owner shall notify the Bureau in writing within ten (10) days of the change in status using Change in Status Form for a Gambling Business Registration (BGC-541 (Rev. 10/17)), which is hereby incorporated by reference; with this form, the primary owner shall submit the registrant's or licensee's badge.~~

~~(c) The words "GAMBLING BUSINESS PLAYER REGISTRANT," "NON-PLAYER GAMBLING BUSINESS REGISTRANT," "GAMBLING BUSINESS PLAYER LICENSEE," OR "NON-PLAYER GAMBLING BUSINESS LICENSEE" in capital letters shall be prominently displayed on the front of the badge. The first name of the registrant or licensee shall appear on the front of the badge. The full name of the registrant or licensee shall be printed on the reverse side of the badge, together with the registrant's or licensee's category of registration or licensing as an owner, supervisor, player, or other employee.~~

~~(d) On the front of the badge, there shall be displayed the picture of the registrant or licensee submitted with the application, the badge number, and expiration date. On the front of the badge, there shall be displayed the name of the primary owner employing the registrant or licensee, which shall be the fictitious business name, if any, established pursuant to Chapter 5 (commencing with section 17900) of Part 3 of Division 7 of the Business and Professions Code.~~

~~(e) Upon renewal of each registration and upon issuance of each registration or license, authorized players shall be issued a badge of one color; individuals not authorized to play shall be issued a badge of a distinctly different color. Any non-player badge issued prior to July 1, 2004, shall be re-issued upon renewal pursuant to subsection (b), so that each registrant receives either a player or non-player badge.~~

~~(f) An individual registered or licensed as a player with a particular primary owner shall apply for and obtain a new badge pursuant to Section 12220.6 before beginning to work for an additional or different primary owner.~~

~~(g) Registrations, licenses, and badges are specific to the primary owner. A gambling business cannot be operated without first applying for and obtaining a registration, license, or badge.~~

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

~~§ 12220.5. Replacement of Badge.~~

~~(a) Upon submission of a request, the Bureau shall provide a replacement badge if all of the following conditions are met:~~

~~(1) The requester has a current valid registration or license.~~

~~(2) The request is complete and has been submitted on the form Request for Replacement Gambling Business Badge (BGC-538, (Rev. 10/17)), which is hereby incorporated by reference.~~

~~(3) The request has supplied all of the following to the Bureau:~~

~~(A) A nonrefundable twenty-five dollar ($25) fee payable to the Bureau.~~

~~(B) The category of the position and information concerning the primary owner for which the replacement badge is requested: the name of the primary owner, mailing address, voice telephone number, facsimile number (if any), and email address (if any).~~

~~(C) A statement under penalty of perjury that a replacement badge is needed due to a name change or to loss or destruction of the originally issued badge.~~

~~(b) A replacement badge provided pursuant to this section shall be valid during the unexpired term of the previously issued registration or license.~~

~~(c) Upon the providing of the replacement badge, the previous badge for that gambling business shall become void and shall not be used.~~

~~(d) Replacement badges shall be provided by the Bureau within seven (7) days of receipt of a completed request.~~

~~Note: Authority cited: Sections 19811, 19827, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Section 19826, Business and Professions Code.~~

~~§ 12220.6. Transfer or Reinstatement of Player Registration or License; Issuance of Additional Badge.~~

~~(a) Upon submission of a request, the Bureau shall provide a player transfer badge, reinstatement badge, or additional badge if all of the following conditions are met:~~

~~(1) The requester has a currently valid registration or license.~~

~~(2) The request is complete and has been submitted on the form Request for an Additional/Transfer/Reinstatement of Gambling Business Registration/License (BGC-539, (Rev. 07/17)), which is hereby incorporated by reference.~~

~~(3) The requester has supplied all of the following to the Bureau:~~

~~(A) A nonrefundable one hundred and twenty-five dollar ($125) fee payable to the Bureau.~~

~~(B) The names as applicable of the current and future primary owner, or previous owner or additional owner, mailing address, voice telephone number, facsimile number (if any), and email address (if any).~~

~~(b) A badge provided pursuant to this section shall be valid during the unexpired term of the previously issued registration or license.~~

~~(c) Upon the providing of the transfer badge, the previous badge shall become void and shall not be used.~~

~~(d) Transfer, additional, and reinstatement badges shall be provided by the Bureau within seven (7) days of receipt of a complete request.~~

~~Note: Authority cited: Sections 19811, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections 19805, 19826 and 19853(a)(3), Business and Professions Code.~~

~~§ 12220.14. Organization Chart and Employee Report.~~

~~(a) Each licensed primary owner shall submit to the Bureau, pursuant to the schedule specified in subsection (a) of Section 12200.20, a completed form Gambling Business Employee and Independent Contractor Report (BGC-540 (Rev. 10/17)), which is hereby incorporated by reference. Upon renewal of the license, each licensed primary owner shall submit an updated organization chart to the Bureau.~~

~~(b) Upon renewal of the registration, each registered primary owner shall submit an updated organization chart and form Gambling Business Employee and Independent Contractor Report (BGC-540) to the Bureau.~~

~~(c) The primary owner shall notify the Bureau in writing within ten (10) days of any change to its ownership structure.~~

~~Note: Authority cited: Sections 19826, 19827, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Section 19826, Business and Professions Code.~~

~~§ 12220.15. Transfers and Sales.~~

~~(a) If any registered or licensed owner wishes to sell in whole or in part any ownership interest to any unregistered or unlicensed person, the owner must first notify the Commission in writing to request~~

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

~~(b) The effective date of the sale shall be at least 90 days after receipt of the application, or such other shorter time period as shall be set by the Executive Director with the agreement of the applicant.~~

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

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

~~§ 12220.17. Emergency Orders.~~

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

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

~~§ 12220.18. Revocation.~~

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

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

~~(b) Any act or omission by the registrant that would disqualify the registrant from obtaining registration under this chapter. Any act or omission by the licensee that would disqualify the licensee from obtaining licensing under this chapter.~~

~~(c) The registrant or licensee engaged in any dishonest, fraudulent, or unfairly deceptive activities in connection with controlled gambling, including any violation of laws related to cheating.~~

~~(d) The registrant or licensee failed or refused to comply with the requirements of Section 12003.~~

~~(e) The registrant or licensee failed or refused to comply with the requirements of Section 12220.14 (Organization Chart and Employee Report).~~

~~(f) The registrant or licensee concealed or refused to disclose any material fact in any inquiry by the Bureau or the Commission.~~

~~(g) The registrant or licensee committed, attempted, or conspired to commit any embezzlement or larceny against a gambling business registrant or licensee or proposition player registrant or licensee or against a holder of a state gambling license, or on the premises of a gambling establishment.~~

~~(h) The registrant or 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 by the registrant or licensee.~~

~~(i) The registrant or licensee buys or sells chips other than to or from the house, except for exchanging with a patron chips of one denomination for chips of another denomination.~~

~~(j) The registrant or licensee lends money or chips to gambling establishment patrons or proposition players, except for exchanging with a patron chips of one denomination for chips of another denomination.~~

~~(k) The registrant or licensee made wagers that were not specifically authorized by the game rules approved by the Bureau.~~

~~(*l*) Any owner knowingly permitted one or more of the owner's supervisors or players to commit any act described in subsections (a) through (k), inclusive.~~

~~(m) Any owner knew, or failed to implement reasonable oversight procedures that would have apprised the owner, that one or more of the registrants or licensees was in violation of one or more provisions of this chapter or of the Act and failed or refused to take action to prevent the recurrence of the violation or violations.~~

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

~~§ 12220.20. Annual Fee.~~

~~(a) No later than September 1 of each year, each registered or licensed primary owner shall submit to the Bureau the annual fee set forth in subsection (c) of this section, based on the total number of registrations or licenses affiliated with the primary owner on the immediately preceding August 1. The payment due September 1 of each year shall be based on the total number of registrations or licenses affiliated with the primary owner on August 1 of that same year.~~

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

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

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

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

~~(3) Beginning September 1, 2006, and thereafter, each primary owner shall pay the annual sum of two thousand eight hundred dollars ($2800) per registrant or licensee, less any applicable credit that may apply from paragraph (1) of this subsection.~~

~~(d)(1) The annual fee for each registered primary owner may be paid in installments. The primary owner 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 submitted prior to licensure shall 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.~~

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

~~(e) Refunds shall not be available in the event of a subsequent decrease in the number of registrants or licensees upon which the annual fee payment was based.~~

~~(f)(1) Following assessment of the annual fee, if the primary owner increases the number of its registrants or licensees above the number upon which the annual fee assessment was based, the primary owner shall submit to the Bureau both the required application fee for the additional registrants or licensees and the additional per player fee set forth in subsection (c) of this section. No new badges shall be issued until the Bureau has received all fees required by this subsection.~~

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

~~(3) 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 with the application for additional registrants or licensees, 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.~~

~~(g) No renewal application shall be approved by the Commission until any delinquent annual fees have been paid in full.~~

~~Note: Authority cited: Sections 19801, 19811, 19823, 19824, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Section 19853(a)(3), Business and Professions Code.~~

~~§ 12220.20A. Annual Fee as Applied to those Registered or Licensed Under Chapter 2.1.~~

~~(a) A primary owner who is currently registered or licensed under Chapter 2.1 may also operate as a gambling business and not be required to pay annual fees under Chapter 2.2 if the following conditions are satisfied:~~

~~(1) The primary owner has paid all Chapter 2.1 annual fees due on the date of the Chapter 2.2 application.~~

~~(2) The primary owner files an application for registration or licensure under this chapter and pays the applicable application fee specified in subsection (e) of Section 12008.~~

~~(3) Each registrant or licensee affiliated with the primary owner under Chapter 2.1 who wishes to be registered or licensed under Chapter 2.2 pays a one hundred and twenty-five dollar ($125) fee for this Chapter 2.2 registration or license.~~

~~(b) If an employee works solely as part of a gambling business and does not provide services under Chapter 2.1, then the primary owner shall pay the per registrant or licensee annual fee assessment for that employee pursuant to Section 12220.20.~~

~~(c) If a background investigation of a person has already been performed under Chapter 2.1, and if that person's registration or licensure under Chapter 2.1 is current, then a second background investigation shall not be required under this chapter.~~

~~Note: Authority cited: Sections 19840, 19841, 19853(a)(3) and 19951(a), Business and Professions Code.~~
~~Reference: Sections 19853(a)(3) and 19951(a), Business and Professions Code.~~

~~ARTICLE 2. REGISTRATION.~~

~~§ 12221. Registration.~~

~~(a) No person may engage in a gambling business as an owner or as an employee or independent contractor of an owner, nor may any person obtain a badge as required by Section 12220.3 without a current valid registration issued by the Commission. Persons registered to provide proposition player services under Chapter 2.1 (commencing with Section 12200) of this title are not required to register under this chapter to provide proposition player services pursuant to one or more proposition player contracts approved by the Bureau pursuant to Section 12200.9 of this title.~~

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

~~(c) Registration under this article or its predecessor does not create any vested right to licensing under Article 3 of this chapter or any successor provision.~~

~~(d) If a primary owner is a corporation, partnership, 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 apply for and obtain registration as an owner listed on the business entity's registration certificate.~~

~~(e) Any application for registration of any person, other than as the primary owner, must designate the primary owner or owners that will employ the applicant or with whom the applicant otherwise will be affiliated.~~

~~(f) If the application is for registration as a supervisor, player, or other employee, the primary owner that will employ the applicant must be currently registered under this chapter.~~

~~(g) Registration is non-transferable.~~

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

~~§ 12222. Application for Registration.~~

~~(a) The application for registration shall designate whether registration is requested as a primary owner, other owner, or employee or independent contractor of the primary owner. The application shall be signed by both the individual applicant and the designated agent, or, if the applicant is a business entity, by the chief executive officer or other designated officer of the business entity.~~

~~(b) An application for registration shall include all of the following:~~

~~(1) Payment of a nonrefundable application fee in the amount specified in paragraph (1) of subsection (e) of Section 12008.~~

~~(2) A completed Application for Gambling Business Registration (BGC-535 (Rev. 10/17)), which is hereby incorporated by reference.~~

~~(3) A properly completed Request for Live Scan Service (California Department of Justice Form BCII 8016, rev. 4/01) of an applicant that is an individual, confirming that the applicant's fingerprints have been submitted to the BCII for an automated background check and response.~~

~~(4) Two 2x2 inch color passport-style photographs of an applicant that is an individual taken no more than one (1) year before submission of the application to the Bureau.~~

~~(c) An applicant that is an individual shall complete and submit the form Gambling Business Registration Supplemental Information (BGC-536 (Rev. 07/17)), which is hereby incorporated by reference.~~

~~(d) An applicant for registration shall make full and true disclosure of all information to the Bureau as required for the application and as requested by the Commission or Bureau to carry out the policies of this state relating to controlled gambling.~~

~~Note: Authority cited: Sections 19840, 19841, 19853(a)(3) and 19951(a), Business and Professions Code. Reference: Sections 19853(a)(3) and 19951(a), Business and Professions Code.~~

~~§ 12223. Processing of Applications for Initial and Renewal Registration.~~

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

~~(b) Upon determination that an application for registration is complete, the application shall be processed by the Bureau within 60 days and the Executive Director shall either issue the registration and the badge applied for or shall notify the applicant of denial and the grounds therefor under Section 12224.~~

~~(c) If the applicant submits a request for withdrawal of his or her application to the Commission, the application shall be deemed abandoned and no further action will be taken on it.~~

~~(d) The Bureau shall provide written notice of abandonment of an application to the applicant and the Commission. If the application is for registration as other than the primary owner, the Bureau shall also provide written notice of abandonment of the application to the primary owner.~~

~~(e) Nothing in this chapter shall require the Commission or Bureau to divulge to the applicant any confidential information received from any law enforcement agency or any information received from any person with assurances that the information would be maintained as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any information that might reveal the identity of any source of information or jeopardize the safety of any person.~~

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

~~§ 12224. Ineligibility for Registration.~~

~~An applicant shall be ineligible for registration for any of the following causes:~~

~~(a) An individual applicant is under the age of 21.~~

~~(b) The applicant has been convicted of any felony, including a conviction in a court of the United States or any other state of an offense that is classified as a felony by the laws of this state.~~

~~(c) The applicant has, within the ten year period immediately preceding the submission of the application, been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities prohibited by Chapter 9 (commencing with section 319) or Chapter 10 (commencing with section 330) of Title 9 of Part 1 of the Penal Code, violations of the Act, or dishonesty or moral turpitude, not including convictions which have been expunged or dismissed as provided by law.~~

~~(d) The applicant has been subject to a final administrative or judicial adjudication revoking a registration under this chapter or a state gambling license, key employee license, work permit or finding of suitability or has had an application denied under this chapter or the Act.~~

~~(e) The applicant would be ineligible for a state gambling license under any of the criteria set forth in Business and Professions Code section 19859, subdivisions (b), (c) or (f).~~

~~(f) The applicant would be ineligible for a state gambling license under Business and Professions Code section 19858.~~

~~(g) The applicant is ineligible based on any other provision of law.~~

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

~~§ 12225. Cancellation of Registration.~~

~~(a) Any registration issued in accordance with this chapter shall be subject to cancellation pursuant to this section. A registration shall be cancelled if the Commission determines after a noticed hearing that the registrant is ineligible for registration, has failed in the application for registration to reveal any fact material to the holder's qualification for registration, or has supplied information in the registration application that is untrue or misleading as to a material fact pertaining to the criteria for issuance of registration.~~

~~(b) If the Commission finds that any of the circumstances set forth in subsection (a) apply, then the Executive Director shall immediately do all of the following:~~

~~(1) Provide written notice to the registrant and the Bureau of the cancellation of the registration and the grounds thereof, and provide written notice of the cancellation to the primary owner, if the registrant is not the primary owner and to all gambling establishments.~~

~~(2) Notify the registrant, if an individual, that he or she is required to surrender the registrant's badge to the Commission not more than ten days following the date that the notice of the cancellation was mailed or such greater time as is authorized by the Executive Director.~~

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

~~§ 12225.1. Transition to Licensing.~~

~~(a) The Bureau shall summon persons registered as primary owners, owners, supervisors, players, and other employees for the purpose of applying for licenses under this chapter. The Bureau shall summon primary owners, owners, supervisors, players, and other employees as expeditiously as possible in light of available program resources. The registration of any registrant that fails or refuses to submit the applicable Application for Gambling Business License for Business Entities and Owners (BGC-533 (Rev. 10/17)) or Application for Gambling Business License for Supervisor, Player or Other Employee (BGC-~~

~~534 (Rev. 10/17)), which are hereby incorporated by reference, including any fees to the Bureau within 30 days of receiving a summons shall expire by operation of law on the following day. Prior to and during review of a request to convert a registration to a license, a registration shall remain valid and may be renewed by the registrant as necessary, upon application and approval of renewal of registration.~~

~~(b) If the registration expires by operation of law, the former registrant shall submit a new Application for Gambling Business License for Business Entities and Owners (BGC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (BGC-534), which are referenced in subsection (a), and a new nonrefundable application fee as specified in paragraph (2), and the applicable additional fee specified in paragraph (3) or (4), of subsection (e) of Section 12008.~~

~~Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections 19853(a)(3) and 19867, Business and Professions Code.~~

~~ARTICLE 3. LICENSING.~~

~~§ 12233. Request to Convert Registration to License.~~

~~(a) A request to convert a registration to a license shall be submitted to the Bureau only in response to a written summons to a primary owner pursuant to Section 12225.1. Each primary owner's request shall be accompanied by the requests of all affiliated owners, supervisors, players, and other employees.~~

~~(b) The request to convert a registration to a license shall designate whether the license is requested as a primary owner, owner, supervisor, player, or other employee. The request shall be signed by the individual requester or, if the requester is a business entity, by the chief executive officer or other designated officer of the business entity.~~

~~(c) The request to convert a registration to a license shall include all of the following:~~

~~(1) A completed Application for Gambling Business License for Business Entities and Owners (BGC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (BGC-534), referenced in Section 12225.1.~~

~~(2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08), referenced in Section 12342 of this division.~~

~~(3) The applicable nonrefundable application fee in the amount specified in subsection (e) of Section 12008.~~

~~(4) Two 2x2 inch color passport-style photographs of a requester that is an individual taken no more than one year before submission of the request to the Bureau.~~

~~(5) The supplemental information package as defined in Section 12220.~~

~~(6) A 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.~~

~~(7) A copy of the summons issued by the Bureau.~~

~~(d) Nothing in this chapter shall require the Commission or Bureau to divulge to the requester any confidential information received from any law enforcement agency or any information received from any person with assurances that the information would be maintained as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any information that might reveal the identity of any source of information or jeopardize the safety of any person.~~

~~Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections 19853(a)(3) and 19867, Business and Professions Code.~~

~~§ 12235. Processing Times - Request to Convert Registration to License.~~

~~A request to convert a registration to license submitted pursuant to this chapter will be processed within the following timeframes:~~

~~(a) The maximum time within which the Bureau shall notify the applicant in writing that a request or a resubmitted request is complete and accepted for initial processing, or that a request or a resubmitted request is deficient and identifying what specific additional information is required, is 20 days after receipt of the request. For the purposes of this section, "request" means the form Application for Gambling Business License for Business Entities and Owners (BGC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (BGC-534), referenced in Section 12225.1. A request is not complete unless accompanied by both a copy of the summons from the Bureau setting a deadline for filing the request and the supplemental information package required by Section 12233(c)(5) for review by the Bureau pursuant to subsection (b) for persons affiliated with the primary owner to whom the summons was addressed.~~

~~(b) The Bureau shall review the supplemental information package submitted for completeness and notify the applicant of any deficiencies in the supplemental information package, or that the supplemental information package is complete, within 45 days of the date that the request and supplemental information package are received by the Bureau. Notwithstanding this subsection, subsequent to acceptance of the supplemental information package as complete, the Bureau may, pursuant to Business and Professions Code section 19866, require the requester to submit additional information.~~

~~(c) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent practicable, submit its recommendation to the Commission within 180 days after the date the Bureau is in receipt of both the completed request and the completed supplemental information package pursuant to subsection (a). If the Bureau has not concluded its investigation within 180 days, then it shall inform the~~

~~applicant and the Commission in writing of the status of the investigation and shall also provide the applicant and the Commission with an estimated date on which the investigation may reasonably be expected to be concluded.~~

~~(d) The Commission will act on the request, pursuant to Section 12054, within 120 days after the Bureau report for that application is submitted to the Commission, except that the Commission may notify the applicant in writing that additional time, not to exceed 30 days, is needed.~~

~~Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections 19853(a)(3) and 19868, Business and Professions Code.~~

~~§ 12236. Ineligibility for Licensing.~~

~~A requester shall be ineligible for licensing for any of the following causes:~~

~~(a) An individual applicant is under the age of 21.~~

~~(b) The requester has been convicted of any disqualifying felony under Business and Professions Code section 19859, subdivision (c).~~

~~(c) The requester has, within the ten (10) year period immediately preceding the submission of the request to convert, been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities prohibited by Chapter 9 (commencing with section 319) or Chapter 10 (commencing with section 330) of Title 9 of Part 1 of the Penal Code, violations of the Act, or dishonesty or moral turpitude, unless the applicant has been granted relief pursuant to Penal Code section 1203.4, 1203.4a, or 1203.45, provided, however, that the granting of relief pursuant to Penal Code section 1203.4, 1203.4a, or 1203.45 shall not constitute a limitation on the discretion of the Commission.~~

~~(d) If the request to convert is for licensing as an owner, supervisor, or player, the requester has been subject to a final administrative or judicial adjudication revoking a registration or license under this chapter or a state gambling license, key employee license, work permit or finding of suitability or has had an application denied under this chapter or the Act.~~

~~(e) The requester has failed to meet the requirements of Business and Professions Code sections 19856 or 19857.~~

~~(f) The requester would be ineligible for a state gambling license under any of the criteria set forth in Business and Professions Code section 19859, subdivisions (b), (e), or (f).~~

~~(g) The requester would be ineligible for a state gambling license under Business and Professions Code section 19858.~~

~~(h) The applicant is ineligible based on any other provision of law.~~

~~Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections 19853(a)(3) and 19859, Business and Professions Code.~~

~~§ 12237. Term of License.~~

~~All initial and renewal licenses shall be issued for a period of two (2) years.~~

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

~~§ 12238. License Renewals.~~

~~(a) An application for renewal of a license shall be filed by the primary owner, owner, supervisor, player, and other employee with the Bureau no later than 120 days prior to the expiration of the current license. Each application for the renewal of a license shall be accompanied by all of the following:~~

~~(1) A completed Application for Gambling Business License for Business Entities and Owners (BGC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (BGC-534), referenced in Section 12225.1.~~

~~(2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08), referenced in Section 12342 of this division.~~

~~(3) As applicable, nonrefundable application fee in the amount specified in subsection (e) of Section 12008.~~

~~(b) Each owner whose name is required to be endorsed upon the license of the primary owner shall submit a separate application for renewal of that individual's or entity's license, together with the application fee specified in subsection (a).~~

~~(c) The Bureau may conduct an investigation of a primary owner and each owner whose name is required to be endorsed upon the license of the primary owner; and any licensed supervisor, player, or other employee identified in the notice issued by the Bureau. Within 15 days of receipt of a notice issued by the Bureau, those identified in the notice must submit a supplemental package pursuant to paragraph (25) of subsection (b) of Section 12220 and a sum of money that, in the judgment of the Chief of the Bureau, will be adequate to pay anticipated investigation and processing costs, in accordance with Business and Professions Code section 19867.~~

~~Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: Sections 19823, 19824, 19851, 19853, 19867, 19876 and 19951, Business and Professions Code.~~

~~§ 12239. Processing of Applications for Renewal License.~~

~~(a) Except as provided in subsection (b), renewal license applications submitted pursuant to Section 12237 shall be processed within the following timeframes:~~

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

~~"application" means either of the two forms specified in paragraph (1) of subsection (a) of Section 12238, as applicable.~~

~~(2) If the Bureau conducts an investigation, it shall submit a written report concerning the renewal application to the Commission no later than 45 days prior to the expiration of the current license, unless that application is filed with the Bureau less than 120 days prior to the expiration of the current license.~~

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

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

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

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

~~Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: Sections 19824, 19853, 19868 and 19876, Business and Professions Code.~~

CHAPTER 3. CONDITIONS OF OPERATION FOR TPPPS BUSINESSES~~Providers of Proposition Player Services AND GAMBLING 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~~, and Sections 12002, 12200, and 12220 of this division,~~ govern~~s~~ the construction of this chapter.

(b) …

…

(10) "Playing Book" means a record documenting each session of play by an authorized~~third-party proposition~~ player~~or by a gambling business individual 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)(12) "Session of play" as used in Section 12260 means the time period when a TPPPS business licenseecompany or gambling business 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)(13) …

(15)(14) …

(16)(15) …

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

§ 12252000.20. TPPPS Annual Fee.

(a) No later than September 1 of each year, each TPPPS business licenseeregistered or licensed primary owner mustshall submit to the Bureau the annual fee set forth in subsection (b)(c) of this section, based on the total number of TPPPS endorsee licensees and TPPPS employee type licenseesregistrations or licenses affiliated with the TPPPS business licenseeprimary owner on the immediately preceding August 1. The payment due September 1 of each year shall be based on the total number of registrations or licenses affiliated with the primary owner on August 1 that same year.

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

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

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

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

(3) Beginning September 1, 2006, and thereafter, eEach TPPPS business licenseeprimary owner mustshall pay the annual sum of two thousand eight hundred dollars ($2800) for each TPPPS endorsee licensee and each TPPPS employee type licenseeper registrant or licensee, less any applicable credit that may apply from paragraph (1) of this subsection.

(c)(d)(1) The annual fee for each registered primary owner may be paid in installments. The TPPPS business licenseeprimary owner 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

~~submitted prior to licensure~~ must~~shall~~ 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.

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

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

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

(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~~shall~~ submit to the Bureau the annual fee appropriate for its TPPPS endorsee licensees and any TPPPS employee type licensees. The TPPPS certificate will~~shall~~ not be issued until the Bureau has received the annual fees or is approved for installment payments.

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

(4)~~(3)~~ 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~~with the application for additional registrants or licensees~~, 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)~~(g)~~ Any~~No~~ renewal application for the TPPPS business licensee will~~shall~~ not be approved by the Commission until any delinquent annual fees have been paid in full.

(g)~~(h)~~ No application for a contract ~~extension~~ may~~shall~~ 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~~00.17~~. Emergency Orders.

TPPPS category licensees~~Registrants and licensees under this chapter~~ will~~shall~~ 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~~00.15~~. Transfers and Sales.

(a) If any ~~registered or licensed~~ TPPPS owner type licensee wishes to sell in whole or in part any ownership interest to any ~~unregistered or~~ 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~~registrant or~~ licensee. Evidence of the transferor's agreement to transfer the interest and, if applicable, the proposed articles of incorporation, must~~shall~~ accompany the application for ~~registration or~~ licensing.

(b) The effective date of the sale must~~shall~~ be at least 90 calendar days after receipt of the application for a TPPPS owner ~~registration or~~ license, or such other shorter time period as will~~shall~~ 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 ~~registered or~~ licensed person must~~shall~~ be submitted in writing to the Commission within ten ~~(10)~~ 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: Section 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) ~~The primary owner of a~~A TPPPS business licensee~~company or gambling business~~ 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~~primary owner~~, or a TPPPS supervisor licensee designated by the TPPPS business licensee~~primary owner~~, at the end of each session of play.

…

(f) The ~~primary owner of a~~ TPPPS business licensee~~company or gambling business~~ 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~~s~~ licensees and TPPPS worker~~supervisors~~ licensees, when acting as authorized players;

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

…

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

…

(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~~company~~ 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 ~~registered or~~ licensed as ~~"~~TPPPS workers~~other employees" pursuant to Chapter 2.1 or 2.2, as applicable,~~ 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~~company or gambling business~~.

…

(9) TPPPS ~~L~~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~~primary owner~~ 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~~primary owner~~ 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~~primary owner~~ 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~~companyor gambling business~~ 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 ~~registered or~~ licensed IT technician.

(b) …

…

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

…

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

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

(a) Each electronic playing book system requires prior review and approval by the Bureau. To request review of the electronic playing book system, the form Application for Playing Book Approval, CGCC-CH3-01~~BGC-APP-036~~ (New 05/20~~Rev. 1/18~~), referenced in subsection (b) of Section 12261, must be completed and submitted to the Bureau along with the following:

…

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

ARTICLE 3. TPPPS CONTRACTS~~(RESERVED)~~

§ 122~~00.~~70. TPPPS~~Proposition Player~~ Contract Criteria.

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

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

…

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

…

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

…

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

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

(9) That proposition player services may be provided only by authorized players with current ~~registration or~~ licensing under ~~this~~ C~~c~~hapter 2.

(10) That the TPPPS business licensee~~primary owner~~ must~~shall~~ provide the cardroom business licensee~~gambling establishment~~ with a copy of its TPPPS~~registration or license~~ certificate, and that the cardroom business licensee~~gambling establishment~~ must~~shall~~ maintain the TPPPS certificate on file, together with a copy of the TPPPS~~proposition player~~ contract applying to that establishment.

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

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

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

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

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

(16) That the TPPPS business licensee~~primary owner~~ and the cardroom business licensee~~house~~ must~~shall~~ report in writing within ten ~~(10)~~ calendar days to both the Commission and the Bureau the identity of any temporary TPPPS category licensee~~registrant~~ whose activities are covered by the TPPPS~~proposition player~~ contract and who is arrested in the gambling establishment by a peace officer, who is removed from the gambling establishment by a peace officer or the cardroom business licensee~~house~~, or who is involved in a patron dispute regarding his or her activities in the gambling establishment that is the subject of a report to a peace officer and that results in removal of one or more individuals.

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

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

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

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

(21) That the contract is a complete expression of all agreements and financial arrangements between the parties; that any addition to or modification of the contract, including any supplementary written or oral agreements, must be approved in advance by the Bureau pursuant to Section 12276~~00.10B (Review and Approval of Amendments to Proposition Player Contracts)~~ before the addition or modification takes effect.

(c)(1) Except as expressly authorized by this subsection, a TPPPS~~proposition player~~ contract may~~shall~~ not include any provision authorizing payment to or receipt by the cardroom business licensee~~house~~, or a designee thereof, of any share of the profits or revenues of the TPPPS business licensee~~a registrant or a licensee~~. Any payments made by a ~~registrant or~~ licensee to the cardroom business licensee~~house~~ for a purpose determined by agreement with the cardroom business licensee~~house~~

must~~shall~~ be specifically authorized by the TPPPS~~proposition player~~ contract. All payments must~~shall~~ be specified in the TPPPS contract. The TPPPS contract must~~shall~~ identify the total charge for each of the following categories: services, facilities, and advertising. In addition, the TPPPS contract must~~shall~~ include a detailed list, excluding specific costs, of the items provided or received in each of these categories.

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

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

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

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

(f) Each TPPPS~~proposition player~~ contract approved by the Bureau must~~shall~~ 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~~primary owner~~ may contract with more than one cardroom business licensee~~gambling establishment~~ at the same time; a cardroom business licensee~~gambling establishment~~ may contract with more than one TPPPS business licensee~~primary owner~~ at the same time. This subsection is not intended to prohibit a TPPPS contract in which a cardroom business licensee~~gambling~~

~~establishment~~ and a TPPPS business licensee~~primary owner~~ agree that one TPPPS business licensee~~primary owner~~ will~~shall~~ be the exclusive provider of proposition player services to that cardroom business licensee~~gambling establishment~~.

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

§ 12272~~00.9~~. Review and Approval of TPPPS~~Proposition Player~~ Contracts.

(a)(1) Proposition player services must not be provided except pursuant to a written TPPPS~~proposition player~~ contract approved in advance by the Bureau. Provision of proposition player services by any person subject to ~~registration or~~ licensing under ~~this~~ C~~c~~hapter 2, or engagement of proposition player services by ~~the holder of~~ a cardroom owner type~~state gambling~~ licensee, without a TPPPS contract as required by this section is a violation of this section. The Bureau must approve a TPPPS~~proposition player~~ 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~~holder of a state gambling~~ licensee~~,~~ or TPPPS business endorsee licensee or otherwise.

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

(2)~~(3)~~ 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) ~~(BGC-APP-030)~~ referenced in paragraph (2).

(B) A completed Appointment of Designated Agent, CGCC-CH1-04 (New 05/20)~~for Owners and Proposition Players (BGC-APP-031 (Rev. 07/17)), which is hereby incorporated by reference.~~

(C) An executed copy of the TPPPS contract that specifically addresses all of the requirements of Section 12270~~00.7~~.

…

(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~~primary owner~~, or TPPPS business licensee~~primary owner~~'s designee.

(3)~~(4)~~ The Bureau must~~shall~~ 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~~shall~~ 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~~proposition player~~ contract must~~shall~~ be completed within 90 days of receiving a completed application and notice thereof must~~shall~~ be sent via United States mail to the applicant or the applicant's designee within ten ~~(10)~~ days of the Bureau's decision. Notice of disapproval of the TPPPS contract or amendments must~~shall~~ 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~~shall~~ be maintained at the gambling establishment and must~~shall~~ be provided for review or copying upon request by any representative of the Commission or Bureau.

(c) The term of any TPPPS~~proposition player~~ contract may~~shall~~ not exceed two years and may~~shall~~ 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~~00.7~~, other than paragraphs (3), (4), and (6) of subsection (b) thereof, may become effective during the term of a TPPPS~~proposition player~~ contract without the prior written approval of the Bureau. If any amendment is made to a TPPPS~~proposition player~~ contract term specified in paragraphs (3), (4), or (6) of subsection (b) of Section 12270~~00.7~~, both parties to the TPPPS contract must~~shall~~ 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~~00.10A~~. Expedited Review and Approval of TPPPS~~Proposition Player~~ Contracts.

(a) In lieu of the procedure specified in Section 12272~~00.9~~, 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~~house~~ and a different TPPPS business licensee~~primary owner~~ 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~~primary owner~~ or designee and the cardroom business licensee~~house~~ must~~shall~~ be notified within three ~~(3)~~ business days of the Bureau's decision. Any TPPPS contract that is not processed through the expedited review and approval process must~~shall~~ be treated as a new TPPPS contract request and reviewed and approved or disapproved as otherwise provided by subdivision (a) of Section 12272~~00.9~~ ~~(a)~~.

(c) The Bureau will~~must~~ 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) ~~(BGC-APP-030)~~, referenced paragraph (2) of subsection (a) of Section 12272~~00.9~~.

(2) A completed Appointment of Designated Agent, CGCC-CH1-04 (New 05/20) ~~for Owners and Proposition Players (BGC-APP-031 (Rev. 11/07)), referenced in Section 12200.9~~.

(3) An executed copy of the TPPPS contract that specifically addresses all the requirements of Section 12270~~00.7~~.

…

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

§ 12276~~00.10B~~. Review and Approval of Amendments to TPPPS~~Proposition Player~~ Contracts.

(a) Requests to review and approve an amendment to a TPPPS~~proposition player~~ contract must~~shall~~ be submitted with an application for approval [~~(~~see Section 12272~~00.9~~ (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~~shall~~ be refunded and an itemized accounting must~~shall~~ be

provided to the TPPPS business licensee~~primary owner~~ or the TPPPS business licensee~~primary owner~~'s designee.

(b) No amendment changing any of the TPPPS contract terms referred to in Section 12270~~00.7~~, other than paragraphs (3), (4), and (6) of subsection (b) thereof, may become effective during the term of a TPPPS~~proposition player~~ contract without the prior written approval of the Bureau. If any amendment is made to a TPPPS~~proposition player~~ contract term specified in paragraphs (3), (4), or (6) of subsection (b) of Section 12270~~00.7~~, both parties to the TPPPS contract must~~shall~~ notify the ~~Commission and~~ Bureau in writing of the amendment within ~~ten (~~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~~00.11~~. Extension of TPPPS~~Proposition Player~~ 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) ~~(BGC-APP-030)~~, referenced in paragraph (2) of subsection (a) of Section 12272~~00.9~~.

…

(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~~primary owner~~, or TPPPS business licensee~~primary owner~~'s designee.

(b) The application must~~shall~~ 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~~proposition player~~ 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~~shall~~ submit the TPPPS contract extension to the Commission for review and comment. The Commission may~~shall~~ 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 ~~licensed or registered~~ TPPPS business licensee~~company and gambling business~~ must develop written procedures which:

(1) Establish a dollar threshold for notification to the TPPPS business licensee~~primary owner~~ 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~~primary owner~~.

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~~registrant or~~ licensee ~~under Chapter 2.1 or Chapter 2~~ 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 ~~for a TPPPS and Gambling Business, as applicable,~~ may possess, direct, or otherwise control currency, chips, or other wagering instruments used for play in the performance of a TPPPS contract~~operation of the gambling business~~.

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

…

(d) A TPPPS~~proposition player~~ contract may, concerning any table assigned for play by the contracted TPPPS business licensee~~registrant or licensee~~, contain a provision precluding players of any other TPPPS business licensee~~registrant or licensee under Chapters 2.1 or Chapter 2.2 of this division~~ from playing at that table during the periods of play assigned by the TPPPS contract~~proposition player contract~~ for the contracted TPPPS business licensee~~registrant or licensee~~.

(e) The cardroom business licensee~~house~~ is not precluded from assigning a seat at the table to a TPPPS business licensee~~registrant or 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)~~(f)~~ of Section 12309~~008~~ must~~shall~~ be submitted with the application for initial registration, and annually thereafter with each application for renewal at least 30~~thirty~~ calendar days prior to the anniversary date of initial registration. For class B registration, no fee will~~shall~~ be required for initial registration or renewal. Applications for renewal of class B registration must~~shall~~ be submitted annually at least 30~~thirty~~ calendar days prior to the anniversary date of initial registration.

(B) The nonrefundable annual application fee for a manufacturer or distributor applying for class A registration that sells, leases, inspects, tests, repairs, refurbishes, or stores only slot machines or devices that are "antique slot machines" within the meaning of Penal Code section 330.7 will~~shall~~ be as specified in paragraph (2) of subsection (c)~~(f)~~ of Section 12309~~008~~, provided that this subparagraph does not apply to a person that is otherwise a manufacturer or distributor or who is an antique collector exempt from registration under Section 12301.1.

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

§ 12309. Forms; Fees.

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

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

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

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

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

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

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

CHAPTER 5. ACCOUNTING AND TRANSACTION APPROVALS.

ARTICLE 1. ACCOUNTING AND FINANCIAL REPORTING.

§ 12311. Definitions.

…

(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 ~~"owner~~ licensee~~"~~ or TPPPS business licensee, as appropriate~~as defined in Business and Professions Code section 19805(ad) and, for the purposes of this chapter, the holder of a third-party provider of proposition player services or gambling business license or registration~~.

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~~shall~~:

…

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

(1) Revenues, expenses, assets, liabilities, and equity for the cardroom business licensee~~gambling~~

~~enterprise,~~ or TPPPS business licensee~~company or gambling business~~.

…

(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~~gambling enterprise~~, 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~~shall~~ 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~~shall~~ be submitted with an initial license ~~or Registration~~ 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~~shall~~ prepare financial statements covering all financial activities of that cardroom business licensee~~TPPPS company, gambling business,~~ or ~~the~~ TPPPS business licensee~~gambling enterprise~~, as applicable, for each fiscal year, in accordance with generally accepted accounting principles, unless otherwise provided in this section. If a gambling enterprise (or a person or entity that has an interest, control, or common control with the 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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. Management may elect not to provide footnote disclosures as would otherwise be required by generally accepted accounting principles.

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

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

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

…

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

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

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

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

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

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

(b) A cardroom business licensee~~gambling enterprise~~, regardless of gross revenue, must~~shall~~ 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~~shall~~ be available for inspection at any time as requested by the Bureau.

(c) Nothing in this section will~~shall~~ be deemed to waive or to suspend the requirement that a cardroom business licensee~~gambling enterprise~~ 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~~gambling enterprise~~ must~~shall~~ 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~~gambling enterprise~~'s policies and procedures, un-deposited checks issued by the cardroom business licensee~~gambling enterprise~~ to a patron, and un-deposited checks drawn on a cardroom business licensee~~gambling enterprise~~'s account.

(b) Records of the date and amount of any unclaimed property sent or reported to the State Controller must~~shall~~ 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]~~GAMBLING LICENSES AND APPROVALS FOR GAMBLING ESTABLISHMENTS AND OWNERS; PORTABLE PERSONAL KEY EMPLOYEE LICENSES.~~

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

~~§ 12335. Definitions.~~

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

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

~~(1) "Annual Fee" means the fee established by Business and Professions Code, section 19951(b)(2).~~

~~(2) "Portable Personal Key Employee License" or "Key Employee License" means a license which authorizes the holder to be associated with any gambling enterprise as a key employee, as provided in Business and Professions Code sections 19805, subdivisions (x) and (y), and 19854, subdivision (c).~~

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

~~ARTICLE 2. GAMBLING LICENSES.~~

~~§ 12340. Gambling Licenses.~~

~~(a) No person may conduct a gambling operation without a current valid gambling license issued by the Commission.~~

~~(b) A gambling license shall be valid for a period of two (2) years.~~

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

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

~~(a) The fee required by Business and Professions Code section 19951, subdivision (b)(2)(A) for initial issuance of a state gambling license shall be based on the number of tables authorized by the state gambling license and determined pursuant to the following schedule:~~

~~(1) For a license authorizing one to five tables, inclusive, at which games are played, three hundred dollars ($300) for each table.~~

~~(2) For a license authorizing six to eight tables, inclusive, at which games are played, five hundred fifty dollars ($550) for each table.~~

~~(3) For a license authorizing 9 to 14 tables, inclusive, at which games are played, one thousand three hundred dollars ($1,300) for each table.~~

~~(4) For a license authorizing 15 to 25 tables, inclusive, at which games are played, two thousand seven hundred dollars ($2,700) for each table.~~

~~(5) For a license authorizing 26 to 70 tables, inclusive, at which games are played, four thousand dollars ($4,000) for each table.~~

~~(6) For a license authorizing 71 or more tables at which games are played, four thousand seven hundred dollars ($4,700) for each table.~~

~~(b) Subsection (a) applies to the following:~~

~~(1) The initial issuance of a state gambling license to the holder of a provisional license as defined in Title 11, California Code of Regulations, Section 2140(c).~~

~~(2) The initial issuance of a state gambling license to a person who has purchased an existing gambling establishment and who is seeking issuance of an owner's state gambling license certificate pursuant to Business and Professions Code section 19851.~~

~~(c) Subsection (a) does not apply to the following:~~

~~(1) Changes in the ownership structure of currently licensed gambling establishments.~~

~~(2) Holders of newly acquired interests in currently licensed gambling establishments.~~

~~Note: Authority: Sections 19811, 19824, 19840, 19841(a) and 19951(b)(2)(A), Business and Professions Code. Reference: Section 19951(b)(2)(A), Business and Professions Code.~~

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

~~(a) An application for a gambling license shall be denied by the Commission if any of the following apply:~~

~~(1) The Commission finds that the applicant is ineligible, unqualified, disqualified, or unsuitable pursuant to the criteria set forth in the Act or other applicable law or that granting the license would be inimical to public health, safety, welfare, or would undermine the public trust that gambling operations are free from criminal or dishonest elements.~~

~~(2) The Commission finds that the local ordinance does not conform to the requirements of Business and Professions Code section 19860.~~

~~(b) An application for a gambling license may be denied if:~~

~~(1) The Commission finds that the applicant meets any of the criteria for license denial set forth in Business and Professions Code section 19862, subdivision (a).~~

~~(2) The Commission finds that an applicant has attempted to communicate or has communicatedex parte, as that term is defined in Business and Professions Code section 19872, subdivision (e), with one or more Commissioners, through direct or indirect means, regarding the merits of the application while the application is pending disposition at the Bureau or the Commission.~~

~~(3) The Commission finds that the applicant's past behavior calls into question the applicant's qualification requirements and considerations outlined in Business and Professions Code section 19856. Examples of past behavior that may be considered include, but are not limited to:~~

~~(A) Convictions which demonstrate a pattern of disregard for the law,~~

~~(B) A conviction involving gambling or gambling-related activities,~~

~~(C) A final administrative decision concluding that there was a violation of law involving gambling or gambling-related activities, or~~

~~(D) A conviction regarding or final administrative decision concluding that there was a violation of campaign finance disclosure or contribution limitations applicable to an election conducted pursuant to Business and Professions Code section 19960.~~

~~(4) The Commission finds that the applicant has, within ten years immediately preceding the submission of the application, willfully or persistently violated any of the following:~~

~~(A) Any regulation adopted by the Commission or Bureau.~~

~~(B) Any condition, limitation, or directive imposed on a previously held gambling license.~~

~~(c) The grounds for denial set forth in this section apply in addition to any grounds prescribed by statute or any grounds that would support revocation under chapter 10 of these regulations.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19861, 19870, 19872, 19880, 19890 and 19982, Business and Professions Code. Reference: Sections 19850, 19851, 19852, 19857, 19858, 19859, 19860, 19862, 19863 and 19960, Business and Professions Code.~~

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

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

~~(a) Except as provided in Business and Professions Code section 19883 and Section 12354, no person may be associated with a gambling enterprise as a key employee without a valid key employee license issued by the Commission.~~

~~(b) A key employee license, including an interim key employee license, shall be valid for a period of two (2) years. If an interim key employee license is issued pursuant to Section 12354, the term of the subsequently issued initial key employee license shall be for the remaining unexpired term of the interim license.~~

~~(c) Any person applying for a key employee license shall submit the following:~~

~~(1) A completed Application for Gambling Establishment Key Employee License BGC-031 (Rev. 10/17), which is attached in Appendix A to this chapter.~~

~~(2) A nonrefundable application fee in the amount specified in subsection (b) of Section 12008 for a key employee license.~~

~~(3) A two by two inch color passport-style photograph taken no more than 30 days before submission to the Bureau of the key employee application.~~

~~(4) Key Employee Supplemental Background Investigation Information, BGC-APP-016A (Rev. 10/17), which is hereby incorporated by reference.~~

~~(5) Authorization to Release Information, BCG-APP-006, as referred to in paragraph (8), subsection (a) of Section 12342.~~

~~(6) Request for Live Scan Service, BCII 8016, as referred to in paragraph (17), subsection (a) of section 12342.~~

~~(d) Except as provided in subsection (e), initial key employee license applications submitted pursuant to this chapter will be processed within the following timeframes:~~

~~(1) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for initial processing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application. For the purposes of this section, "application" means the Application for Gambling Establishment Key Employee License, BGC-031, referred to in paragraph (1) of subsection (c) of this section. An application is not complete unless accompanied by the fee specified in subsection (b) of Section 12008. In addition, an applicant shall submit with the application, any supplemental information required by subsection (c) of this section for review by the Bureau pursuant to paragraph (2) of this subsection.~~

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

~~(3) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent practicable, submit its recommendation to the Commission within 180 days after the date the Bureau is in receipt of both the completed application and the completed supplemental information. If the Bureau has not concluded its investigation within 180 days, then it shall inform the applicant and the Commission in~~

~~writing of the status of the investigation and shall also provide the applicant and the Commission with an estimated date on which the investigation may reasonably be expected to be concluded.~~

~~(4) The Commission will act on an application, pursuant to Section 12054, within 120 days after the Bureau report for that application is submitted to the Commission, except that the Commission may notify the applicant in writing that additional time, not to exceed 30 days, is needed.~~

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

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

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

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19876(a), Business and Professions Code. Reference: Sections 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19876(a), 19951 and 19982, Business and Professions Code.~~

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

~~(a) Each application for renewal of a portable personal key employee license shall be accompanied by all of the following:~~

~~(1) A completed Application for Gambling Establishment Key Employee License, BGC-031, as referred to in paragraph (1) of subsection (c) of Section 12350.~~

~~(2) A nonrefundable application fee in the amount specified in subsection (b) of Section 12008 for a key employee license.~~

~~(3) A two inch by two inch color passport-style photograph taken no more than 30 days before submission to the Bureau of the key employee renewal application.~~

~~(b) If, after a review of an application for renewal of a key employee license, the Bureau determines that further investigation is needed, the applicant shall submit a 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.~~

~~(c) Except as provided in subsection (d), key employee renewal license applications shall be processed within the following timeframes:~~

~~(1) An application for renewal of a key employee license shall be filed by the key employee with the Bureau no later than 120 days prior to the expiration of the current license.~~

~~(2) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for initial processing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application. For the purposes of this section,~~

~~"application" means the Application for Gambling Establishment Key Employee License, BGC-031, as referred to in paragraph (1) of subsection (c) of Section 12350. An application is not complete unless accompanied by the fee as specified in subsection (b) of Section 12008 for a key employee license.~~

~~(3) If the Bureau conducts an investigation, it shall submit a written report concerning the renewal application, which may include a recommendation pursuant to Business and Professions Code section 19826, subdivision (a), to the Commission no later than 45 days prior to the expiration of the current license, unless that application is filed with the Bureau less than 120 days prior to the expiration of the current license.~~

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

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

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

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

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

~~(a) The holder of a valid key employee license shall notify the Bureau within 10 days of acceptance or termination of employment with a gambling enterprise by submitting a completed Notification of Change in Key Employee Employment Status, BGC-033 (Rev. 10/17), which is attached in Appendix A to this chapter.~~

~~(b)(1) The holder of a valid key employee license may request a replacement license in the event the license has been lost, stolen, damaged, or as needed to reflect a change of name by submitting the following:~~

~~(A) A completed Request for Replacement Key Employee License, BGC-034 (Rev. 10/17), which is attached in Appendix A to this chapter.~~

~~(B) A two inch by two inch color passport-style photograph taken no more than 30 days before submission to the Bureau of the key employee license replacement request.~~

~~(C) A nonrefundable fee payable to the Bureau as specified in subsection (b) of Section 12008.~~

~~(2) The Bureau shall provide a replacement portable personal key employee license to the holder as long as there is not any cause for revocation of the key employee license.~~

~~(3) A replacement key employee license provided pursuant to this section shall be valid during the unexpired term of the replaced key employee license.~~

~~(4) Upon the providing of the replacement key employee license, the previous key employee license shall become invalid and shall not be used thereafter.~~

~~(5) Applications submitted pursuant to paragraph (1) of this subsection shall be processed within the following time frames:~~

~~(A) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for filing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application.~~

~~(B) A replacement key employee license shall be either provided or denied within 15 working days after the filing of a complete application.~~

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

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

~~(a) An individual, if holding a valid work permit for any gambling enterprise, may immediately begin to work as an interim key employee provided that the individual submit the following to the Bureau within 10 days of hiring:~~

~~(1) An Application for Interim Key Employee License, BGC-035 (Rev. 07/17), which is attached in Appendix A to this chapter.~~

~~(2) A nonrefundable application fee pursuant to subsection (b) of Section 12008.~~

~~(3) A copy of the employee's valid work permit issued pursuant to section 19912 of the Business and Professions Code for any gambling enterprise.~~

~~(4) A two inch by two inch color passport-style photograph taken no more than 30 days before submission to the Bureau of the interim key employee application, which shall be in addition to the photograph submitted for the initial portable personal key employee license.~~

~~(b) Applications for issuance of an interim key employee license shall be processed within the following timeframes:~~

~~(1) The maximum time within which the Bureau shall notify the applicant in writing that an application or a resubmitted application is complete and accepted for filing, or that an application or a resubmitted application is deficient and identifying what specific additional information is required, is five working days after receipt of the application.~~

~~(2) An interim key employee license shall be either granted or denied within 15 working days after the filing of a complete application.~~

~~(c) Interim key employee license approvals are subject to the following conditions:~~

~~(1) An application package for an initial portable personal key employee license as required in subsection (c) of Section 12350 must be submitted to the Bureau within 30 days of assuming a key employee position.~~

~~(2) An interim license shall be valid for a period of two years from the date it is issued.~~

~~(3) Issuance of an interim license does not obligate the Commission to issue a regular key employee license.~~

~~(4) Issuance of an interim license has no bearing on the question of whether the holder will qualify for issuance of any Commission permit, registration, or license.~~

~~(5) The interim key employee shall cease working in a key employee position if, during the term of the interim license, any of the following occurs:~~

~~(A) The application for key employee license is abandoned or denied.~~

~~(B) The interim key employee's work permit expires, is revoked, or is cancelled before the key employee license is approved.~~

~~(C) The Executive Director notifies the applicant and gambling enterprise that the interim status is cancelled pursuant to subsection (e) of this section.~~

~~(d) Upon issuance or denial of a regular key employee license by the Commission, the interim license previously issued shall become invalid and shall not be used thereafter.~~

~~(e) With ten day's advance written notice to the interim key employee and to the gambling enterprise, the Executive Director shall cancel the interim key employee license based upon the following:~~

~~(1) Evidence showing that the applicant has sustained any disqualifying criminal convictions;~~

~~(2) Evidence showing that the applicant is statutorily ineligible for a key employee license under the Act;~~

~~(3) Evidence which discloses that having the applicant serve as an interim key employee pending determination of their application may in the judgment of the Executive Director present a danger to the public or to the reputation of controlled gambling in this state;~~

~~(4) A determination by the Executive Director that the applicant has failed to reveal any fact that is material to, or supplied materially untrue or misleading information on, the applicant's key employee license application;~~

~~(5) A Bureau recommendation of denial of the applicant's key employee application;~~

~~(6) Referral by the Commission of the applicant to an evidentiary hearing with direction to the Executive Director to cancel the interim key employee status; or~~

~~(7) A determination by the Executive Director that the gambling enterprise using the interim key employee procedure has shown a pattern or practice of hiring or promoting persons to key employee~~

~~positions in violation of subsection (a) above or that the gambling enterprise has acted in bad faith, with actual knowledge that the persons hired or promoted would be ineligible for licensure.~~

~~(f) Within ten days of the date of notice of a cancellation of interim status pursuant to this section, the gambling enterprise shall notify the Bureau in writing of the effective date of the position change for or suspension of the employee, and shall describe the employee's revised job duties, if any.~~

~~(g) Judicial review of a cancellation of interim status shall be by petition pursuant to section 1085 of the Code of Civil Procedure.~~

~~(h) This section shall apply to any individual employed in the capacity of a key employee, whether employed in a gambling establishment owned by a non-corporate licensee or by a corporate licensee, as provided in Business and Professions Code section 19883.~~

~~Note: Authority cited: Sections 19823, 19824, 19840, 19841 and 19883, Business and Professions Code. Reference: Sections 19805(w), 19805(x), 19850, 19855, 19856, 19857, 19859, 19866, 19870 and 19883, Business and Professions Code.~~

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

~~(a) An application for a portable personal key employee license shall be denied by the Commission if any of the following applies:~~

~~(1) The Commission finds that the applicant is ineligible, unqualified, disqualified, or unsuitable pursuant to the criteria set forth in the Act or other applicable law or that granting the license would be inimical to public health, safety, welfare, or would undermine the public trust that gambling operations are free from criminal or dishonest elements.~~

~~(b) An application for a key employee license may be denied if:~~

~~(1) The Commission finds that an applicant has attempted to communicate or has communicatedex parte, as that term is defined in Business and Professions Code section 19872, subdivision (e), with one or more Commissioners, through direct or indirect means, regarding the merits of the application while the application is pending disposition at the Bureau or the Commission.~~

~~(2) The Commission finds that the applicant's past behavior calls into question the applicant's qualification requirements and considerations outlined in Business and Professions Code section 19856. Examples of past behavior that may be considered include, but are not limited to:~~

~~(A) Convictions which demonstrate a pattern of disregard for the law,~~

~~(B) A conviction involving gambling or gambling-related activities,~~

~~(C) A final administrative decision concluding that there was a violation of law involving gambling or gambling-related activities, or~~

~~(D) A conviction regarding or final administrative decision concluding that there was a violation of campaign finance disclosure or contribution limitations applicable to an election conducted pursuant to Business and Professions Code section 19960.~~

~~(3) The Commission finds that the applicant has, within ten years immediately preceding the submission of the application, willfully or persistently violated any of the following:~~

~~(A) Any regulation adopted by the Commission or Bureau.~~

~~(B) Any condition, limitation, or directive imposed on a previously held gambling or key employee license.~~

~~(c) The grounds for denial set forth in this section apply in addition to any grounds prescribed by statute or any grounds that would support revocation under chapter 10 of these regulations.~~

~~Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19854, 19859, 19870, 19872, 19890 and 19982, Business and Professions Code. Reference: Sections 19850, 19851, 19852, 19854, 19856, 19857, 19858 and 19859, Business and Professions Code.~~

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~~of these regulations~~, the definitions in Business and Professions Code section 19805 govern the construction of this chapter.

(b) As used in this chapter:

(1)~~(a)~~ …

(2)~~(b)~~ …

(3)~~(c)~~ "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~~gambling enterprise~~, or the integrity of gambling operations.

(4)~~(d)~~ …

(5)~~(e)~~ …

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

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

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

(7)~~(i)~~ …

(8)~~(j)~~ …

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~~gambling establishment~~ may also have an internal removal list to bar certain individuals from entering the specific gambling establishment only.

(b) A 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,~~form~~ CGCC-CH7-01~~12362~~ (New~~Rev.~~ 05/20~~05-11~~) ~~"Request for Statewide Involuntary Exclusion of an Individual,"~~ 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~~shall~~ 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~~shall~~ 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 be excluded pursuant to Article 6 of these regulations (commencing with section 12460) or involuntarily excluded pursuant to this section.

(d) Upon receipt of a request by a licensee or governmental official for statewide involuntary exclusion of an individual, the Executive Director will~~shall~~ review the reason for exclusion. If there appears to be good cause to place an individual on the statewide involuntary exclusion list, the Executive Director will~~shall~~ issue~~cause~~ a notice of exclusion ~~to issue~~ to the individual. Such notice will~~shall~~ state the grounds for exclusion and may be served by personal service, by certified mail at the last known address of the individual, or by publication daily for 1 week in a newspaper of general circulation in the

vicinity of the requestor. The exclusion will~~shall~~ be effective upon perfection of notice and will~~shall~~ remain in effect until the individual is removed from the list by Commission decision.

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

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

…

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

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

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

(k) Petitions to be removed from the statewide involuntary exclusion list must~~shall~~ be in writing, directed to the Executive Director, and sent to the Commission at 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833. Petitioners should clearly state the circumstances of the ejection or exclusion, any new evidence which is material and necessary, including evidence that circumstances have changed since placement on the statewide involuntary exclusion list, and why they do not pose a threat to the public, cardroom~~gambling enterprise~~ employee~~s~~ type licensees, the gambling industry, or should otherwise not be excluded pursuant to Business and Professions Code section 19844 or 19845, subdivision (a)(7). This statement must~~shall~~ be signed under penalty of perjury under the laws of the State of California. The Executive Director may summarily deny the petition without prejudice due to lack of

compliance with this subsection. If not summarily denied, the Executive Director will~~shall~~ provide notice and opportunity to comment to the requestor. After review of the requestor's comments, the Executive Director, may notify the Bureau to remove the individual from the statewide involuntary exclusion list, or may set the matter for hearing pursuant to Business and Professions Code section 19871 or pursuant to Government Code section 11500 et seq., as determined by the Executive Director.

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

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

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

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

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

…

(r) This regulation does not create any right or cause of action against a cardroom business licensee~~gambling establishment~~, 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 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~~n~~ cardroom business ~~owner~~ licensee must~~shall~~ 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 ~~entitled "~~Notice of Relocation,~~"~~ CGCC-CH7-02~~050~~ (New 05~~06~~/20~~12~~), 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~~shall~~ 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 ~~owner~~ licensee must~~shall~~ 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 licensee's fully executed rental or lease agreement for, or evidence of the 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~~shall~~ be submitted at the same time as the documents specified in subparagraphs (A) through (C), inclusive, or, if not available, must~~shall~~ 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 ~~owner~~ licensee must~~shall~~, 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~~shall~~ 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~~shall~~ be accompanied by a written statement from the cardroom business licensee which, at a minimum, must~~shall~~ include the following information:

…

(c)(1) If a~~n~~ cardroom business ~~owner~~ 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~~gambling establishment~~ may~~shall~~ not be relocated without Commission review. The Bureau must~~shall~~ 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~~shall~~ 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~~n~~ cardroom business ~~owner~~ 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~~shall~~ be required and the Bureau may proceed as if paragraph (2) of subsection (b) did not apply.

(d)(1) The Bureau must~~shall~~ 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~~shall~~ be provided to the Commission, as well as any follow-up reports. The Bureau's site visit report must~~shall~~ 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~~shall~~ issue a notice to the cardroom business ~~owner~~ licensee to correct the deficiency. The notice must~~shall~~ describe each deficiency and specify a reasonable time in which the deficiency is to be corrected. The commencement of gambling operations will~~shall~~ 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 ~~owner~~ licensee and each cardroom endorsee~~d~~ licensee~~owner~~ will~~shall~~ 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~~shall~~ constitute a separate violation.

(g) Failure to timely provide notice to the Bureau as required by subsection (b) will~~shall~~ 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.

§ 1236~~8~~5~~7~~. Cardroom Business License Annual Fee.

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

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

(2) The annual fee specified in subdivision (d) of section 19951 will~~shall~~ be based on the cardroom business licensee~~gambling enterprise~~'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)~~(b)~~ Each cardroom business ~~owner~~ licensee must~~shall~~ submit, with their whole payment, or first installment payment, of the annual fee specified in this section, a completed Cardroom Business License~~Gambling Establishment~~: Annual Fee Calculation, form ~~BGC~~CGCC-CH7-03~~10~~ (New~~Rev.~~ 05~~10~~/20~~17~~), 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)~~(c)~~ 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~~gambling~~ license has been deemed surrendered pursuant to Business and Professions Code section 19955, the license will~~shall~~ be subject to the provisions of subsection (b) of Section 12142~~347~~ 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~~220.23~~. Prohibited Player-Dealer Participation; Exclusion.

~~(a)~~ In order to promote the purposes of the Act to provide for effective regulation of gambling enterprises, owner -licensees ~~of gambling establishments~~ must~~shall~~ notify the Commission and Bureau of, and may exclude from the gambling establishment, any person(s) that the cardroom business ~~owner~~ licensee reasonably believes is conducting prohibited player-dealer participation, pursuant to Section 12005,~~a gambling business~~ within the gambling establishment~~ without having been registered or licensed under this chapter~~. A~~n~~ cardroom business ~~owner~~ licensee acting under this section must~~shall~~ notify the Commission and Bureau in writing of any such ~~unregistered or unlicensed~~ person(s) and of any such exclusion, including the identity of the excluded individuals and entity if known, within ten ~~(10)~~ business days following the exclusion. Upon receiving such notice~~ of an unregistered or unlicensed person~~, the Commission will~~shall~~ notify the person(s) in writing of the ~~registration and~~ license requirement of ~~this c~~Chapter 2 and may~~shall~~ notify some or all cardroom business ~~owner~~ licensees of the name of the ~~unregistered or~~ unlicensed person(s), if known, and may condition any subsequent ~~registration or~~ license of the person with~~under this chapter or Chapter 2.1 of this division upon~~ a 60 to 90 day suspension of ~~registration or~~ licensure or require the payment of a civil penalty under Business and Professions Code section 19930, subdivision (c), or both.

~~(b) An owner-licensee of a gambling establishment may exclude any registered or licensed gambling business and shall notify the Commission and Bureau in writing within five (5) days following the exclusion.~~

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 ~~as an owner~~ license~~e~~ under Chapter 2~~6~~ of this Division must~~shall~~ 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 1211~~34~~2.

(c) Each cardroom business licensee must~~shall~~ 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~~shall~~ 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~~shall~~ include the following documentation, as applicable:

(1) If the responsible local authority provides reviews, the cardroom business licensee must~~shall~~ 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~~shall~~ 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~~shall~~ send the fire safety and evacuation plan to the State Fire Marshal, and must~~shall~~ 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 1214~~3~~4~~8~~, 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.

§ 12372. Security and Surveillance Plan.

…

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

(2) Each applicant for a cardroom business ~~as an owner~~ license~~e~~ under Chapter 2~~6~~ of this Division must~~shall~~ submit to the Bureau one copy of a current security and surveillance plan, pursuant to this section, together with those application documents required by Section 1211~~34~~2.

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

(4) If a cardroom business licensee's security and surveillance 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 or configurations of any restricted areas of the gambling establishment, or which alters or affects any security or surveillance capabilities or procedures, the cardroom business licensee must~~shall~~ submit one copy of its revised security and surveillance plan with the first biennial license renewal application submitted immediately following any revision to its security and surveillance plan, and, paragraph (3) notwithstanding, with every second renewal application submitted thereafter.

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

(d) The Bureau will~~shall~~ review the cardroom business licensee's security and surveillance plan, including those provisions under the responsible local authority's jurisdiction, whether reviewed by the

local authority or not, and those provisions not under the responsible local authority's jurisdiction. If the Bureau determines that the cardroom business licensee's security and surveillance plan does not address the elements set forth in this section, then the Bureau may issue a determination identifying the deficiencies and specifying a time certain within which those deficiencies must~~shall~~ be cured.

(e)(1) Each cardroom business licensee must~~shall~~, at least annually, provide for a review of the requirements of the security and surveillance plan with those employees that have been assigned duties under the plan, ensuring that each 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 annual review must~~shall~~ 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~~shall~~ 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~~shall~~ 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 1214~~3~~4~~8~~, 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 ~~GAMBLING ESTABLISHMENTS~~.

§ 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~~n~~ cardroom business~~owner~~ licensee authorized to operate one to five tables.

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

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

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

(5) "Tier V licensee," means a~~n~~ cardroom business~~owner~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ be required.

(d) On request, copies of a cardroom business licensee's policies and procedures must~~shall~~ 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~~shall~~ 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~~shall~~ assign the overall responsibility for establishing, periodically reviewing, monitoring, and testing for compliance with their MICS policies and procedures to a specific cardroom endorsee~~owner~~ licensee or key employee licensee and must~~shall~~ document the assignment in the cardroom business licensee's policies and procedures. Tests for compliance with MICS policies and procedures must~~shall~~ 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~~shall~~ be documented and the documentation retained by the cardroom business licensee.

~~(g) Licensees shall establish and implement policies and procedures in accordance with the applicable provisions of this section no later than April 1, 2010.~~

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~~shall~~ meet or exceed the following standards for the drop and collection of the drop for non-electronic gambling tables:

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

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

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

…

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

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

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

…

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

…

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

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

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

(1) All drop boxes, whether in use or not, must~~shall~~ be removed from the gambling table as provided in subsection (a) by at least one employee of the gambling establishment who holds a valid cardroom category license ~~or work permit~~, accompanied by at least one member of the security department or its equivalent. The employee of the gambling establishment may~~shall~~ not be a member of the security department or its 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 ~~or work permit~~ and who are each assigned to a different department.

(3) The names of the individuals performing the drop collection must~~shall~~ be documented either by software or in writing and, when documented in writing, those individuals who performed the collection must~~shall~~ 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~~shall~~ 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 ~~or work permit~~ to video monitor the drop box collection process and that the entire drop collection process be continuously recorded by video surveillance.

~~(d) Licensees shall establish and implement the applicable standards for drop collection specified in subsections (a) through and including (c) no later than April 1, 2010.~~

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~~shall~~ meet or exceed the following standards for count room functions:

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

(3)(A) Drop box counts must~~shall~~ be permanently recorded, in ink or another form approved by the cardroom business~~owner~~ 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~~shall be~~ permitted. Corrections must~~shall~~ 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~~shall~~ write his or her initials and the date, in ink, immediately next to the correct figures. The correction, in a hard copy of a daily count sheet, of errors discovered subsequent to the completion and signing by the designated individual(s) will~~shall~~ require the completion of a revised or amended count sheet, which must~~shall~~ be maintained with the original count sheet.

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

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

(6) A drop box must~~shall~~ be emptied in a manner that will identify and record the box identification, as specified in Section 12384, subsection (a), paragraph (3), subparagraph (C), and paragraph (4), and so that video surveillance recording will document that all contents are removed from the drop box for the count.

(b)(1) In addition to the requirements of subsection (a), the policies and procedures for Tiers II through and including V must~~shall~~ include standards for count room functions that require the use and maintenance of a secured area known as the count room for the counting of gambling chips, which must~~shall~~:

…

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

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

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

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

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

(4) Count sheets verified pursuant to paragraph (3) above must~~shall~~, immediately following verification, be remitted to the accounting department or its equivalent, or deposited in a locked box, located in a secure area of the gambling establishment, the contents of which are accessible only by the accounting department or its equivalent. Count sheets must~~shall~~ be maintained and controlled by the accounting 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~~shall~~ include the following standards for count room functions:

(1) The count room must~~shall~~ 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~~shall~~ 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 ~~or work permit~~ must~~shall~~ be designated to video monitor the count process and the entire count process must~~shall~~ be continuously recorded by video surveillance.

(3) Immediately prior to the opening of a drop box, the door to the count room must~~shall~~ be secured. Except as otherwise authorized by the cardroom business licensee's policies and procedures, no person may~~shall~~ 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~~shall~~ 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.

~~(f) Licensees shall establish and implement the applicable standards for count and count room functions specified in subsections (a) through and including (e) no later than April 1, 2010.~~

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

§ 12386. Cage Operation and Functions.

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

(1) The cardroom business licensee must~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~gambling license, key employee license, or work permit~~ may be granted access to a cage or cage area for the purpose of performing their duties.

(4) A log must~~shall~~ 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~~shall~~ 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~~shall~~ balance his or her imprest to the imprest amount. The recordable cage transactions and reconciliations must~~shall~~ be posted and reconciled to the general ledger at least monthly.

(B) The reconciliation of each cage and cashiers' bank must~~shall~~ be documented on a cage accountability form that must~~shall~~ 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~~gambling enterprise employee~~ on the gambling floor. Cardroom category ~~L~~licensees may~~shall~~ not permit TPPPS category licensees~~proposition player services providers~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ include the following standards for a cage:

(1) A cage must~~shall~~ 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~~gambling enterprise employees~~. The design and construction of a cage must~~shall~~ include:

…

(C) Access through a secured door or doors, which must~~shall~~ 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~~shall~~ include an itemization of the following:

…

(3) The cardroom business licensee must~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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.

~~(e) Licensees shall establish and implement the applicable standards for cage functions specified in subsections (a) through and including (d) no later than April 1, 2010.~~

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~~shall~~ 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~~shall~~ be secured in a receptacle, drawer, or compartment with a locking mechanism securing the contents. The receptacle, drawer, or compartment must~~shall~~ remain locked at all times, except when being accessed by assigned cardroom category licensees~~gambling enterprise employees~~ in the performance of their duties. If a keyed lock or locking mechanism is used, the key must~~shall~~ not be left in the lock when the drawer or compartment is not being accessed. All keys, combinations, and access codes are~~shall be~~ 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~~shall~~ be keyed differently from the lock or locking mechanism of any other receptacle, drawer, or compartment of any furnishing, fixture, cabinet, appurtenance, or device (hereafter cabinet) in the gambling establishment, except in the following circumstances:

(A) When a single assigned cardroom~~gambling enterprise~~ employee type licensee requires access to multiple receptacles in the performance of his or her duties; that access is limited solely to that employee

during his or her assigned shift; and each of the receptacles contains a floor bank, those receptacles may have a key, combination, or access code in common with each other.

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

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

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

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

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

(7) The cardroom business licensee's policies and procedures must~~shall~~ include specific provisions governing the sale or distribution of gambling chips and the disbursement of cash to patrons from a floor bank by the assigned cardroom~~gambling enterprise~~ employee type licensee. The redemption of chips by a patron from a floor bank may~~shall~~ not exceed a total of $500, except when that floor bank is being temporarily operated as a cage and all applicable provisions of Section 12386 are complied with. No chip redemptions may be transacted at any time from a floor bank in a mobile cabinet.

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

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

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

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

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

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

(3) Any cabinet having a drawer, compartment, or receptacle containing gambling equipment or confidential documents must~~shall~~ be located so that it is clearly visible for security and surveillance purposes. The cabinet must~~shall~~ be kept under continuous recorded video surveillance, in accordance with the applicable provisions of Section 12396.

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

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

(c) If a cardroom business licensee provides to any ~~third-party provider of proposition player services (~~TPPPS~~)~~ business licensee~~company~~ or its employees access to or the use of any cabinet, or any receptacle, drawer, or compartment in any cabinet described in subsection (a) or (b), that access or use must~~shall~~ be exclusive to that TPPPS business licensee~~company~~ and its employees, and that cabinet may~~shall~~ not be used by the cardroom business licensee for any purpose.

~~(d) Licensees shall establish and implement the standards specified in this section no later than April 1, 2015.~~

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

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

(a) A cardroom business licensee may extend credit to a patron if, prior to extending credit to the patron, the cardroom business licensee determines that an extension of credit is not prohibited by any statute, law, regulation, or local ordinance. ~~A licensee shall not extend credit to an owner, supervisor, player or other employee of a gambling business (as defined in Title 4 CCR Section 12220) that is occupying a player-dealer position in any game at any gambling establishment owned by the licensee.~~ A cardroom business licensee may~~shall~~ not extend credit to a~~n~~ TPPPS category licensee ~~owner, supervisor, player or other employee of a third-party provider of proposition player services (as defined in Title 4 CCR Section 12200)~~ that is a party to a contract with the TPPPS owner type licensee to provide third-party proposition player services ~~in a game with a player-dealer position in any gambling establishment owned by the licensee~~. A cardroom business licensee may not extend credit to an employee of the licensee to act as a "house prop player" or "public relations player" in any controlled game. In addition to complying with all laws regarding the issuance of credit, a cardroom business licensee that extends credit to a patron must~~shall~~ address, in written policies and procedures and credit application form(s), the following requirements for the extension and collection of credit:

…

(3) …

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

…

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

…

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

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

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

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

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

…

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

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

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

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

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

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

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

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

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

…

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

…

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

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

…

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

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

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

…

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

(k) ATMs must~~shall~~ 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~~shall~~ 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~~shall~~ be open to the public.

(2) No cardroom category licensee ~~or employee of a gambling enterprise~~ may~~shall~~, 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 ~~or employee~~ 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~~shall~~ 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~~shall~~ be transacted only by those designated gambling enterprise employee~~s~~ 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~~shall~~ 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~~shall~~ 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.

~~(c) Licensees shall establish and implement the applicable standards for gambling floor operations specified in subsections (a) and (b) no later than May 1, 2013.~~

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~~shall~~ meet or exceed the following standards for house rules:

(a) A cardroom business licensee must~~shall~~ 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~~shall~~ address the following:

…

(b) A cardroom business licensee's house rules must~~shall~~ be in addition to, and may~~shall~~ 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.

~~(d) Licensees shall establish and implement the applicable standards for house rules specified in subsections (a) and (b) no later than May 1, 2013.~~

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~~shall~~ 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~~shall~~ be limited to authorized personnel in the performance of their duties and must~~shall~~ be closely controlled.

(2) For the purpose of video surveillance recordings, gambling establishments must~~shall~~ 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 ~~L~~licensees must~~shall~~ 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~~owner~~ 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~~owner~~ or key employee licensee obtaining knowledge or notice of any reasonably suspected violation listed in subparagraph (A).

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

…

(5) Cardroom business ~~L~~licensees must~~shall~~ 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 ~~gambling establishment~~ employee~~s~~ 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~~shall~~ include all access codes and combinations, as applicable, and the names of all cardroom ~~gambling establishment~~ employee~~s~~ 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~~shall~~ be:

…

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

(1) Except as otherwise provided, cardroom business licensees must~~shall~~ 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~~shall~~ meet or exceed the following requirements:

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

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

(D) Access to a key control box must~~shall~~ be limited to the cardroom category licensees~~licensed gambling establishment owners, key employees, or other employees~~ designated by the cardroom business licensee~~owner of the gambling establishment~~.

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

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

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

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

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

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

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

~~(f) Licensees shall establish and implement the applicable standards for security specified in subsections (a) through and including (e) no later than December 1, 2011.~~

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

§ 12396. Surveillance.

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

(1) Licensees must~~shall~~ install and maintain, on site in their gambling establishment, a surveillance system, with video recording and closed circuit television (CCTV) monitoring capabilities, to record critical activities related to the licensees' gambling operations. The surveillance system must~~shall~~ record with reasonable coverage and clarity, at a minimum, the gambling operation, the payment of player drop fees, the collection of drop boxes, the drop count processes, cage and cashier activities, gambling equipment storage areas, except for furniture storage areas, and the interior of gambling establishment

entrances and exits. The video recording equipment must~~shall~~ include date and time generators which must~~shall~~ display the current date and time of recorded events on videotape or digital recordings. The displayed date and time must~~shall~~ not significantly obstruct the view of recorded images. The surveillance system may have remote, off-site access capabilities, but only ancillary to any on-site systems required by this section.

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

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

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

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

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

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

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

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

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

(7)(A) Unless otherwise requested by the Bureau, all recordings must~~shall~~ be retained for a minimum of seven complete days of operation, except that recordings that are determined by the Bureau or a law enforcement agency to be of evidentiary value must~~shall~~ be retained for a period specified in writing by the determining agency. Recordings of any criminal offense subject to reporting pursuant to paragraph (3)

of subsection (a) of Section 12395 must~~shall~~ be retained indefinitely, or until the Bureau authorizes their disposal.

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

(8) For the purpose of enforcing the provisions of the Act, this division, or Division 3 of Title 11 of the California Code of Regulations, Bureau staff, with the approval of the chief, may, at any time during the gambling establishment's actual hours of operation, demand immediate access to the surveillance room and any area of the gambling establishment where surveillance equipment is installed or maintained or where surveillance video recordings are stored, and such access must~~shall~~ be provided by the cardroom business licensee or the cardroom business licensee's authorized representative. The Bureau may, pursuant to subparagraph (D) of paragraph (1) of subdivision (a) of section 19827 of the Business and Professions Code, take custody of and remove from the gambling establishment the original of any video recording, or a copy of any digital recording, required to be made and maintained pursuant to the Act or this division. Any surveillance video recording that is in the custody of the Bureau pursuant to this paragraph may be disclosed by the Bureau only when necessary to administer or enforce the provisions of the Act, this division, or Division 3 of Title 11 of the California Code of Regulations, or when necessary to comply with a court order. Upon reasonable request of the cardroom business licensee or the cardroom business licensee's authorized representative, a copy of the recordings must~~shall~~ be made and left on the premises if copying equipment is available to enable Bureau staff to make copies. If copying equipment is not available to Bureau staff, upon reasonable request of the cardroom business licensee or the cardroom business licensee's authorized representative, a copy of the recordings will be provided to the cardroom business licensee at the cardroom business licensee's expense, unless the Bureau expressly waives its costs of providing the copies.

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

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

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

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

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

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

(d) In addition to the requirements of subsections (a), (b) and (c), the policies and procedures for Tier IV must~~shall~~ include a requirement that, during all hours of operation, a cardroom owner type~~gambling~~ licensee~~establishment owner~~ or key employee licensee be on duty who has the ability to access live video from surveillance cameras and 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~~shall~~ meet or exceed the following standards for surveillance:

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

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

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

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

(3) Routine access and entry into the surveillance room must~~shall~~ be limited to on-duty employees of the surveillance unit assigned to monitor gambling operations. Cardroom employee type licensees~~Owners, managers and other employees of the gambling establishment who hold a valid gambling license or work permit~~ 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~~shall~~ 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~~shall~~ include closed circuit television (CCTV) monitoring and video recording.

(6) Cardroom business ~~L~~licensees must~~shall~~ 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~~shall~~ be made by on-duty surveillance personnel and must~~shall~~ include, at a minimum, the following:

…

~~(f) Licensees shall establish and implement the applicable standards for surveillance specified in subsections (a) through and including (e) no later than December 1, 2011.~~

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~~6~~. 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~~shall~~ be maintained by the Bureau and will~~shall~~ 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~~gambling enterprise~~ 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~~gambling enterprise~~ 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~~shall~~ post or provide, at patron gambling entrances or exits, and in conspicuous places in or near gambling areas and any areas where cash or credit are available to patrons, accessible written materials concerning the nature and symptoms of problem gambling and the toll-free telephone number approved by the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently "1-800-GAMBLER."

(b) Any website operated by or on behalf of any cardroom business licensee~~gambling enterprise,~~ or TPPPS business licensee~~or gambling business~~ must~~shall~~ contain a responsible gambling message and a link to the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently "http://www.problemgambling.ca.gov."

(c) Advertising material produced by or on behalf of any cardroom business licensee~~gambling enterprise,~~ or TPPPS business licensee~~or gambling business~~ must~~shall~~ contain a responsible gambling message and must~~shall~~ refer to the telephone number listed in subsection (a) above or the website listed in subsection (b) above, or both. This provision applies to any advertisement that will be distributed by television, radio, outdoor display, flyer, mail or digitally. This provision does not apply to:

…

Note: Authority cited: Sections 19811, 19840, 19841(o), and 19920, Business and Professions Code. Reference: Sections 19801 and 19920, Business and Professions Code; and Sections 4369.2 and 4369.4, Welfare and Institutions Code.

§ 12462. Training Requirements.

(a) Each cardroom business licensee must~~shall~~ have procedures for providing new employee orientations and annual training concerning problem gambling for all employees who directly interact with gambling patrons in gambling areas. A cardroom business licensee may develop an internal training program, may use a third-party training program, or may use a training program developed and provided by the Office of Problem Gambling.

(b)(1) New employee orientations must~~shall~~ be completed within 60 days of the issuance of a cardroom category license~~ or work permit~~, or the employee's start date, whichever is later.

…

(3) Each cardroom business licensee must~~shall~~ designate a person(s) responsible for maintaining the program, coordinating training, and documenting employee completion. The program must~~shall~~ be reviewed at least once a year to ensure that the information provided is current. Records of employee completion documentation must~~shall~~ be maintained in accordance with Section 12003, and must~~shall~~ 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~~shall~~ have training, as specified:

(1) Cardroom employee type licensees~~Employees, and supervisors of employees~~, 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~~shall~~ receive training concerning the nature and symptoms of problem gambling behavior.

(2) Cardroom employee type licensees~~Employees, and supervisors of employees~~, whose duties include interacting with gambling patrons in gambling areas and who have duties related to the operation of a controlled game must~~shall~~ 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~~shall~~ receive the training specified in paragraph (2), and must~~shall~~ 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~~shall~~ 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 ~~L~~licensees must~~shall~~ 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~~shall~~ 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~~036~~ (New~~Rev.~~ 05~~02~~/20~~15~~), 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~~shall~~ 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 ~~L~~licensees must~~shall~~ implement a program that allows patrons to exclude themselves from gambling establishments using a form entitled Self-Exclusion Request, form CGCC-CH7-05~~037~~ (New~~Rev.~~ 05~~07~~/20~~17~~), attached in Appendix A to this chapter. That program must~~shall~~ 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~~shall~~ be submitted using the form Self-Exclusion Removal Request, CGCC-CH7-06~~038~~ (New~~Rev.~~ 05~~07~~/20~~17~~), attached in Appendix A to this chapter. The Bureau will~~shall~~ 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~~shall~~ be automatically removed from the list of self-excluded persons upon the conclusion of the requested term.

(c) Upon removal, the Bureau must~~shall~~ 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~~shall~~ 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~~shall~~ 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~~shall~~ 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~~358~~. Request for Additional Temporary Tables for Tournaments or Special Events.

(a) An cardroom business ~~owner~~ licensee ~~of a gambling establishment~~ 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)~~Request for a Certificate to Operate Additional Tables on a Temporary Basis BGC-024 (Rev. 10/17)~~, which is attached in Appendix A to this chapter.

…

(3) ~~Fees for t~~The temporary~~additional~~ table~~s~~ fee, as calculated pursuant~~according~~ to ~~the form in paragraph (1) of this~~ subsection (f).

(b) The Commission may~~shall~~ not grant the application if a review by the Bureau discloses any of the following:

…

(3) The cardroom business~~gambling establishment's state gambling~~ 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~~shall~~ 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 ~~Commission or~~ Bureau.

(e) The Bureau will~~shall~~ complete its review of the application and submit its findings to the Commission within 25 days of receipt of the application. The Commission will~~shall~~ either approve or deny the request within 10 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~~359~~. Request for Additional Permanent Tables.

(a) The cardroom business~~owner~~ licensee ~~of a gambling establishment~~ 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)~~Application for Additional Authorized Permanent Tables, BGC-027 (Rev. 07/17)~~, referenced in paragraph (1) of subsection (a) of Section 12470~~which is attached in Appendix A to this chapter~~.

…

(b) The Commission will~~shall~~ 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 ~~state gambling~~ 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~~shall~~ result in the application being considered abandoned and unused deposit amounts returned, with no further action to be taken by the Commission.

(d) The Bureau will~~shall~~ 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~~shall~~ 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 470.

(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~~I~~ 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~~I~~ 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~~I~~ 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~~I~~ 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~~shall~~ 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, ~~R~~registration, permit, finding of suitability, or approval, the Commission will~~shall~~ proceed under Chapter 5 (commencing with section 11500) of Part 1 of Division 3 of Title 2 of the Government Code. ~~Discipline shall be in accordance with the guidelines of this chapter, summarized for convenience only in CGCC 12554 (New 09/06), Summary Chart of Disciplinary Guidelines, attached as Appendix A to this chapter.~~

…

(c) The Administrative Law Judge and Commission will~~shall~~ base their decisions on written findings of fact, including findings concerning any relevant aggravating or mitigating factors. Findings of fact will~~shall~~ 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, ~~R~~registration, permit, or approval, the Commission may do any one or more of the following:

(1) Revoke the license, ~~R~~registration, permit, finding of suitability, or approval;

(2) Suspend the license, ~~R~~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, ~~R~~registration, work permit, finding of suitability, or approval, or

(7) …

(A) If the respondent is a~~n~~ cardroom business~~owner~~ licensee ~~of a gambling establishment~~, the monetary penalty will~~shall~~ 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) [RESERVED]~~

(B)~~(C)~~ …

(C)~~(D)~~ If the respondent is a~~n~~ TPPPS owner type licensee~~owner of a third-party provider of proposition player services~~ and the violation involved a fraudulent, expired, borrowed, or stolen badge, or involved a non-registered or non-licensed employee of the TPPPS owner type licensee, the monetary

penalty will~~shall~~ be the sum of $500 plus the total of $300 multiplied by the maximum number of tables for which proposition player services have been contracted at the gambling establishment where the violation was charged, which sum will~~shall~~ be multiplied by the number of calendar-days for which the suspension is stayed.

~~(E) If the respondent is an owner of a gambling business, the monetary penalty shall be $1500 per day for the number of days for which the suspension is stayed.~~

(D)~~(F)~~ If the respondent is a key employee licensee ~~of a gambling establishment or a supervisor of a gambling business~~ or TPPPS supervisor licensee~~third-party provider of proposition player services~~, the monetary penalty will~~shall~~ be $100 per day for the number of calendar-days for which the suspension is stayed.

(E)~~(G)~~ If the respondent is a holder of a work permit~~, a player~~ or TPPPS worker license~~other employee of a gambling business or third-party provider of proposition player services~~, or a person not otherwise described above, the monetary penalty will~~shall~~ be $50 per day for the number of calendar-days for which the suspension is stayed.

(e) If a person's cardroom business~~state gambling~~ license ~~for a gambling establishment~~ is revoked by the Commission pursuant to this chapter, the Commission may stay such revocation for a reasonable period of time to allow such person to sell or divest himself or herself of such person's ownership interest in the gambling establishment, provided that after the date on which the revocation is stayed by the Commission, such person will~~shall~~ not be entitled to, realize, or receive any profits, distributions, or payments that might directly or indirectly be due to such person or which arise out of, are attributable to, or are derived from controlled gambling.

(f) If a~~n~~ TPPPS owner type licensee~~of a third-party provider of proposition player services or gambling business~~ has his or her ~~owner's~~ TPPPS owner type license ~~or registration~~ revoked by the Commission pursuant to this chapter, the Commission may stay such revocation for a reasonable period of time to allow such person to sell or divest himself or herself of such person's ownership interest in the TPPPS business license~~third-party provider of proposition player services or gambling business~~, provided that after the date on which the revocation is stayed by the Commission, such person will~~shall~~ not be entitled to~~,~~ realize~~,~~ or receive any profits, distributions, or payments that might directly or indirectly be due to such person or which arise out of, are attributable to, or are derived from the provision of proposition player services.

(g) For decisions concerning a cardroom business licensee~~gambling establishment~~, findings must~~shall~~ be made regarding the number of tables in operation at the establishment and the annual gross gaming revenue of the establishment

(h) For decisions concerning TPPPS owner type licensee~~an owner of a third-party provider of proposition player services~~, findings must~~shall~~ be made regarding the maximum number of tables for which proposition player services have been contracted at the gambling establishment where the violation was charged.

…

(j) For multiple violations, or for suspensions imposed by other jurisdictions based on the same violations, the decision must~~shall~~ state whether any Commission-imposed suspensions must~~shall~~ run consecutively 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~~shall~~ not be charged as a separate violation; however, the frequency and duration of the practice will~~shall~~ 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~~shall~~ consider the following factors in mitigation or aggravation of the penalty imposed:

…

(k) The extent to which a~~n~~ cardroom business~~owner~~ licensee, ~~or~~ key employee licensee ~~of a gambling establishment~~, TPPPS owner type licensee, or TPPPS supervisor licensee ~~of a third-party provider of proposition player services, or owner or supervisor of a gambling business~~ 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~~third-party provider of proposition player services or gambling business~~, the extent to which the owner category~~owner~~ licensee~~, or licensee, or registrant~~ 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~~third-party provider of proposition player services or gambling business~~, the extent to which the owner category licensee~~owner licensee or gambling establishment~~ knew or should have known of the improper conduct.

~~(n) If the violation was caused by an independent contractor of a gambling business, the extent to which the gambling business owner licensee, licensee, or registrant knew or should have known of the independent contractor's improper conduct; the level of authority of the independent contractor involved and the extent to which the independent contractor acted within the scope of his or her authority in committing the violation.~~

(n)~~(o)~~ If the violation was caused or committed by a TPPPS category licensee~~third party~~, the extent to which the cardroom business licensee~~owner licensee,~~ or TPPPS owner type licensee~~, or registrant~~ knew or should have known of the TPPPS category licensee~~third-party~~'s improper conduct.

(o)~~(p)~~ …

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~~shall~~ 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~~(d)(7) of this chapter~~, 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 ~~Providers of~~ Proposition Player Services Licensees ~~or Registrants~~.

(a) If the Commission finds that a~~n~~ TPPPS owner type licensee ~~of a third-party provider of proposition player services, as that term is used in California Code of Regulations, Title 4, Section 12200~~, is out of compliance with any mandatory duty specified in or imposed by the Act or any Commission or Bureau regulation, which is not otherwise listed in these disciplinary guidelines, the penalty will~~shall~~ be one day of suspension of proposition player services from either a specified cardroom business licensee~~gambling establishments~~ or all cardroom business licensees~~gambling establishments~~, as the

circumstances and factors in mitigation or aggravation apply and which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554~~(d)(7) of this chapter~~.

(b) A TPPPS owner type licensee~~ or registration granted by the Commission for an owner of a third-party provider of proposition player services, as that term is used in California Code of Regulations, Title 4, Section 12200,~~ will be subject to a minimum discipline of suspension of five calendar-days from either a specified ~~gambling~~ cardroom business licensee~~establishments~~ or all cardroom business licensees~~gambling establishments~~, as the circumstances and factors in mitigation or aggravation apply, and a maximum discipline of revocation, which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554~~ of this chapter~~, if the Commission finds that:

(1) The TPPPS owner 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 ~~grant of~~ license~~ or registration~~, renewal license~~of such~~, 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~~ or registration~~;~~,~~

(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 ~~providers of~~ 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~~00.7~~, subsection (b)(9) or (b)(11);~~,~~

(8) The TPPPS owner type licensee has failed to fully disclose financial arrangements in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (b)(14);~~,~~

(9) The TPPPS business licensee~~primary owner~~ has failed to report cheating, in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (b)(17);~~,~~

(10) The TPPPS owner type licensee has purchased, leased, or controlled equipment in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (b)(20);~~,~~

(11) The TPPPS owner type licensee has failed to have the TPPPS~~proposition player~~ contract approved, in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (b)(21), or Section 12272~~00.9~~;~~,~~

(12) The TPPPS owner type licensee has authorized or provided payment to or receipt by the cardroom business licensee~~gambling establishments~~, in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (c);~~,~~

(13) The TPPPS owner type licensee has been cheating, or has induced or instructed another to cheat, pursuant to Penal Code~~,~~ sections 337t, 337u, 337v, 337w, or 337y;~~,~~

(14) The TPPPS owner type licensee has committed extortion (as that term is defined in Chapter 7 of Title 13 of Part 1 of the Penal Code, commencing with section 518);~~,~~

(15) The TPPPS owner type licensee has committed loan-sharking [~~(~~as that term is used in Civil Code section 1916-3, subdivision (b)~~)~~];~~,~~

(16) The TPPPS owner type licensee has conducted or negotiated illegal sales of controlled substances (as that term is used in Chapter 1 (commencing with section 11000) of Division 10 of the Health and Safety Code) or dangerous drugs (as that term is used in Business and Professions Code, section 4022);~~,~~

(17) The TPPPS owner type licensee has committed bribery (as that term is used in Penal Code section 67 or 67.5);~~,~~

(18) The TPPPS owner type licensee has committed money laundering (as that term is used in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section 186.9);~~,~~

(19) The TPPPS owner type licensee has granted rebates to patrons without full disclosure, in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (b)(18);~~,~~

(20) The TPPPS owner type licensee has violated the provisions regarding playing books listed in California Code of Regulations, Title 4, Section 12250;~~,~~

(21) ~~The owner has committed any of the acts listed in California Code of Regulations, Title 4, Section 12200.18, subsections (a), (b), (d), (e), (f), (i), (j), (l), (m), or (n), or~~The TPPPS owner type licensee committed, attempted to commit, or conspired to commit any act prohibited by the Act or this chapter;

(22) The TPPPS owner type licensee concealed or refused to disclose any material fact in any inquiry by the Bureau or the Commission;

(23) The TPPPS owner type licensee bought or sold chips other than to or from the cardroom business licensee, except for exchanging with a patron, chips of one denomination for chips of another denomination;

(24) The TPPPS owner type licensee lent money or chips to a patron;

(25) The TPPPS owner type licensee knowingly permitted one or more of the TPPPS owner type licensee's TPPPS employee type licensees to commit any act described in paragraph (9) of subsection (c) or paragraphs (9) to (17), inclusive, of subsection (d);

(26) The TPPPS owner type licensee knew, or failed to implement reasonable oversight procedures that would have apprised the TPPPS owner type licensee, that one or more of the TPPPS owner type licensee's TPPPS employee type licensees was in violation of one or more provision the Act or regulation and failed or refused to take action to prevent the recurrence of the violation or violations;

(27) The TPPPS owner type licensee provided proposition player services to a gambling enterprise without a Bureau-approved contract on and after April 30, 2004; or,

(28)~~(22)~~ The TPPPS owner type licensee ~~is~~ provided~~ing~~ prohibited player-dealer services~~ as a gambling business without first obtaining a gambling business registration or license, in violation of California Code of Regulations, Title 4, Section 12220 et seq~~.

(c) A TPPPS ~~supervisor, player, or other~~ employee type licensee ~~, as those terms are used in California Code of Regulations, Title 4, Section 12200,~~ will be subject to a minimum monetary penalty of $100 and/or a suspension of three calendar-days and a maximum penalty of revocation if the Commission finds that:

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

(2) The TPPPS~~supervisor, player, or other~~ employee type licensee has engaged in any dishonest, fraudulent, or deceptive activities in connection with controlled gambling or the provision of proposition player services;~~,~~

(3) The TPPPS~~supervisor, player, or other~~ employee type licensee has committed any act punishable as a crime, not otherwise listed in these disciplinary guidelines, which substantially relates to the duties and qualifications of the licensee~~ or registrant~~, or which occurred in a gambling establishment or the associated adjacent property;~~, or~~

(4) The TPPPS~~supervisor, player, or other~~ employee type licensee has engaged in any conduct on the premises of the gambling establishment or in connection with controlled gambling or the provision of proposition player services which is inimical to the health, welfare, or safety of the general public;~~.~~

(5) The TPPPS ~~supervisor, player, or other~~ employee type licensee has either failed to wear a badge, worn a badge which was covered, worn a false or altered badge~~ or a badge issued for a different gambling establishment~~, worn another person's badge, or worn an expired badge;~~,~~

(6) The TPPPS ~~supervisor, player, or other~~ employee type licensee has engaged in fighting or has intentionally provoked a patron or employee of~~at~~ a cardroom business licensee~~gambling establishments~~;~~,~~

(7) The TPPPS ~~supervisor, player, or other~~ employee type licensee has maliciously or willfully destroyed or damaged the property of a~~the~~ cardroom business licensee~~gambling establishments~~, cardroom employee type licensee, or patron;~~,~~

(8) The TPPPS ~~supervisor, player, or other~~ employee type licensee has accepted tips, gratuities, complimentaries, or gifts from a cardroom category licensee~~gambling establishments staff~~ or cardroom businesses licensee's patrons;~~,~~

(9)~~ The supervisor, player, or other employee has committed any of the acts listed in California Code of Regulations, Title 4, Section 12220.18, subsection (a), or~~The TPPPS employee committed, attempted to commit, or conspired to commit any act prohibited by the Act or this chapter; or,

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

(d) A TPPPS ~~supervisor, player, or other~~ employee type licensee~~, as those terms are used in California Code of Regulations, Title 4, Section 12200,~~ will be subject to a minimum monetary penalty of $300 and/or a suspension of five calendar-days and a maximum penalty of revocation if the Commission finds that:

(1) The TPPPS ~~supervisor, player, or other~~ employee type licensee has intentionally misrepresented a material fact on an application,~~ request to convert,~~ or supplemental application for licensure~~, registration,~~ or approval;~~,~~

(2) The TPPPS ~~supervisor, player, or other~~ employee type licensee has been cheating, pursuant to Penal Code, section 337x;~~,~~

(3) The TPPPS ~~supervisor, player, or other~~ employee type licensee has committed extortion (as that term is defined in Chapter 7 of Title 13 of Part 1 of the Penal Code, commencing with section 518);~~,~~

(4) The TPPPS ~~supervisor, player, or other~~ employee type licensee has committed loan-sharking (as that term is used in Civil Code section 1916-3, subdivision (b));~~,~~

(5) The TPPPS ~~supervisor, player, or other~~ employee type licensee has conducted or negotiated illegal sales of controlled substances (as that term is used in Chapter 1 (commencing with section 11000) of Division 10 of the Health and Safety Code) or dangerous drugs (as that term is used in Business and Professions Code, section 4022);~~,~~

(6) The TPPPS ~~supervisor, player, or other~~ employee type licensee has committed bribery (as that term is used in Penal Code section 67 or 67.5);~~,~~

(7) The TPPPS ~~supervisor, player, or other~~ employee type licensee has committed money laundering (as that term is used in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section 186.9);~~,~~

(8) The TPPPS ~~supervisor, player, or other~~ employee type licensee has granted rebates to patrons without full disclosure, in violation of California Code of Regulations, Title 4, Section 12270~~00.7~~, subsection (b)(18);~~, or~~

(9) ~~The supervisor, player, or other employee has committed any of the acts listed in California Code of Regulations, Title 4, Section 12200.18, subsections (b), (c), (d), (f), (g), (h), (i), (j), or (k).~~The TPPPS employee type licensee intentionally misrepresented a material fact on an application or supplemental application for licensure

(10) The TPPPS employee type licensee engaged in any dishonest, fraudulent, or unfairly deceptive activity in connection with controlled gambling, including any violation of laws related to cheating;

(11) The TPPPS employee type licensee concealed or refused to disclose any material fact in any inquiry by the Bureau or the Commission;

(12) The TPPPS employee type licensee committed, attempted to commit, or conspired to commit an 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 ~~or registration granted by the Commission for an owner of a third-party provider of proposition player services, or for a supervisor, player, or other employee, as those terms are used in California Code of Regulations, Title 4, Section 12200,~~ will~~shall~~ be subject to revocation if the Commission finds that:

(1) The TPPPS category licensee~~owner, supervisor, player, or other employee~~ has been convicted of a felony or a crime of moral turpitude that would disqualify the holder from licensure;~~,~~ or,

(2) The TPPPS ~~owner, supervisor, player, or other~~ employee type licensee no longer meets any criterion for eligibility, pursuant to ~~California Code of Regulations, Title 4,~~ Section~~s~~ 12040~~12204 or 12218.11~~.

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

~~§ 12562. Disciplinary Guidelines for Gambling Business Licensees Or Registrants.~~

~~(a) If the Commission finds that an owner of a gambling business, as that term is used in California Code of Regulations, Title 4, Section 12220, 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 shall be one day of suspension of gambling business services from either specified gambling establishments or all gambling establishments, as the circumstances and factors in mitigation or aggravation apply and which may be stayed on terms and conditions and any monetary penalty as described in Section 12554(d)(7) of this chapter.~~

~~(b) A license or registration granted by the Commission for an owner of a gambling business, as that term is used in California Code of Regulations, Title 4, Section 12220, shall be subject to a minimum monetary penalty of $2500 and/or a discipline of suspension of five days from either specified gambling establishments or all gambling establishments, as the circumstances and factors in mitigation or aggravation apply, and a maximum discipline of revocation by the Commission if the Commission finds that:~~

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

~~(2) The owner 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 owner has intentionally misrepresented a material fact on an application or supplemental application for licensure or registration,~~

~~(4) The owner has engaged in any dishonest, fraudulent, or deceptive activities in connection with controlled gambling or the provision of proposition player services as a gambling business,~~

~~(5) The owner 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 owner has violated California Code of Regulations, Title 4, regarding annual fees for gambling businesses,~~

~~(7) The owner has been cheating, or has induced or instructed another to cheat, pursuant to Penal Code, sections 337t, 337u, 337v, 337w, or 337y,~~

~~(8) The owner has committed extortion (as that term is defined in Chapter 7 of Title 13 of Part 1 of the Penal Code, commencing with section 518),~~

~~(9) The owner has committed loan-sharking (as that term is used in Civil Code section 1916-3, subdivision (b)),~~

~~(10) The owner has conducted or negotiated illegal sales of controlled substances (as that term is used in Chapter 1 (commencing with section 11000) of Division 10 of the Health and Safety Code) or dangerous drugs (as that term is used in Business and Professions Code, section 4022),~~

~~(11) The owner has committed bribery (as that term is used in Penal Code section 67 or 67.5),~~

~~(12) The owner has committed money laundering (as that term is used in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section 186.9),~~

~~(13) The owner is providing services as a gambling business without first obtaining a gambling business registration or license, in violation of California Code of Regulations, Title 4, Section 12220 et seq., or~~

~~(14) The owner has committed any of the acts listed in California Code of Regulations, Title 4, Section 12220.18, subsections (a), (b), (d), (e), (f), (l), or (m).~~

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

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

~~(2) The supervisor, player, or other employee has engaged in any dishonest, fraudulent, or deceptive activities in connection with controlled gambling,~~

~~(3) The supervisor, player, or other employee has committed any act punishable as a crime, not otherwise listed in these disciplinary guidelines, which substantially relates to the duties and qualifications of the licensee or registrant, or which occurred in a gambling establishment or the associated adjacent property,~~

~~(4) The supervisor, player, or other employee has engaged in any conduct on the premises of the gambling establishment or in connection with controlled gambling which is inimical to the health, welfare, or safety of the general public.~~

~~(5) The supervisor, player, or other employee has either failed to wear a badge, worn a badge which was covered, worn a false or altered badge or a badge issued for a different gambling establishment, worn another person's badge, or worn an expired badge,~~

~~(6) The supervisor, player, or other employee has engaged in fighting or has intentionally provoked a patron or employee at a gambling establishment,~~

~~(7) The supervisor, player, or other employee has maliciously or willfully destroyed or damaged the property of the gambling establishment, employee, or patron,~~

~~(8) The supervisor, player, or other employee has accepted tips, gratuities, complimentaries, or gifts from gambling establishment staff or patrons,~~

~~(9) The supervisor, player, or other employee has committed any of the acts listed in California Code of Regulations, Title 4, Section 12220.18, subsection (a), or~~

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

~~(d) A supervisor, player, or other employee, as those terms are used in California Code of Regulations, Title 4, Section 12220, shall be subject to a minimum penalty of a monetary penalty of $300 and/or a suspension of five days and a maximum penalty of revocation if the Commission finds that:~~

~~(1) The supervisor, player, or other employee has intentionally misrepresented a material fact on an application, request to convert, or supplemental application for licensure, registration, or approval,~~

~~(2) The supervisor, player, or other employee has been cheating, pursuant to Penal Code, section 337x,~~

~~(3) The supervisor, player, or other employee has committed extortion (as that term is defined in Chapter 7 of Title 13 of Part 1 of the Penal Code, commencing with section 518),~~

~~(4) The supervisor, player, or other employee has committed loan-sharking (as that term is used in Civil Code section 1916-3, subdivision (b)),~~

~~(5) The supervisor, player, or other employee has conducted or negotiated illegal sales of controlled substances (as that term is used in Chapter 1 (commencing with section 11000) of Division 10 of the Health and Safety Code) or dangerous drugs (as that term is used in Business and Professions Code, section 4022),~~

~~(6) The supervisor, player, or other employee has committed bribery (as that term is used in Penal Code section 67 or 67.5),~~

~~(7) The supervisor, player, or other employee has committed money laundering (as that term is used in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section 186.9),~~

~~(8) The supervisor, player, or other employee has committed any of the acts listed in California Code of Regulations, Title 4, Section 12220.18 subsections (c), (d), (f), (g), (h), (i), (j), or (k).~~

~~(e) A license or registration granted by the Commission for an owner of a gambling business, or for a supervisor, player, or other employee, as those terms are used in California Code of Regulations, Title 4, Section 12220, shall be subject to revocation if the Commission finds that:~~

~~(1) The owner, supervisor, player, or other employee has been convicted of a felony or a crime of moral turpitude that would disqualify the holder from licensure, or~~

~~(2) The owner, supervisor, player, or other employee no longer meets any criterion for eligibility, pursuant to California Code of Regulations, Title 4, Sections 12224 or 12220.11.~~

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

(a) If the Commission finds that a cardroom business licensee~~gambling establishment~~ 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~~shall~~ 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~~establishment~~ has five tables or less and has an annual gross gaming revenue up to and including $10,000, the penalty will~~shall~~ be between $50 and $100, based upon the factors in mitigation and aggravation.

(2) If the cardroom business licensee~~establishment~~ has ten tables or less or has an annual gross gaming revenue over $10,000, up to and including $200,000, the penalty will~~shall~~ be between $100 and $2000, based upon the factors in mitigation and aggravation.

(3) If the cardroom business licensee~~establishment~~ has an annual gross gaming revenue over $200,000, the penalty will~~shall~~ be between $250 and $5,000, based upon the factors in mitigation and aggravation.

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

…

~~(3) [RESERVED]~~

~~(4) [RESERVED]~~

(3)~~(5)~~ Violated Business and Professions Code, section 19878 (contract with, employment of, services provided by person(s) with denied, suspended, or revoked license~~ or registration~~),

(4)~~(6)~~ …

~~(7) [RESERVED]~~

(5)~~(8)~~ …

(6)~~(9)~~ …

(7)~~(10)~~ …

(8)~~(11)~~ …

(9)~~(12)~~ Violated California Code of Regulations, Title 11, Section 2050, subsection (a) (failure to maintain cardroom owner type licensee or key employee licensee on premises),

(10)~~(13)~~ …

(11)~~(14)~~ …

(c) A cardroom business licensee~~state gambling license for a gambling establishment granted by the Commission~~ will~~shall~~ be subject to a minimum discipline of suspension for five days of normal business operation and a maximum discipline of revocation, which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554~~(d)(7) of this chapter~~, if the Commission finds that the establishment 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 ~~grant of~~ license ~~or Registration~~, renewal license~~of such~~, or pursuant to disciplinary action,

…

(3) Intentionally misrepresented a material fact on an application or supplemental application for licensure~~ or Registration~~,

…

(5) Failed to report to the Commission and Bureau, pursuant to Section 12369, the operation of a business organization~~unregistered gambling businesses~~ participating in a California game when the owners or management of the establishment knew or should have known that a~~these gambling~~ business~~es~~ organization was~~ere~~ operating in the establishment in violation of Section 12005~~, and has been disciplined by the Commission for such a violation previously~~,

…

(7) Violated Business and Professions Code, section 19878 (contract with, employment of, services provided by person(s) with denied, suspended, or revoked license or ~~R~~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~~n~~ cardroom endorsee~~owner~~ licensee who~~for a gambling establishment if the owner licensee~~ has committed a separate violation from ~~any violations committed by~~ the cardroom business licensee~~gambling establishment~~ will~~shall~~ 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~~(d)(7) of this chapter~~, 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 ~~grant of~~ 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~~n~~ cardroom endorsee~~owner~~ licensee who~~for a gambling establishment if the owner licensee~~ has committed a separate violation from ~~any violations committed by~~ the cardroom business licensee~~gambling establishment~~ will~~shall~~ 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~~(d)(7) of this chapter~~, 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~~n~~ 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 owner licensee knew or should have known that these crimes were being committed,

…

(c) A cardroom owner type~~state gambling~~ license, finding of suitability, or approval granted by the Commission, other than a work permit, and a~~n~~ cardroom endorsee~~owner~~ licensee who~~for a gambling establishment if the owner licensee~~ has committed a separate violation from ~~any violations committed by~~ the cardroom business licensee~~gambling establishment~~ must~~shall~~ 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.

CHAPTER 11. CONFLICTS OF INTEREST.

Appendix A

…

DISCLOSURE CATEGORY 2 – Any officer, employee, or consultant in this category must~~shall~~ disclose investments, business positions, and sources of income including gifts, loans and travel payments, from any manufacturer or distributor of gambling equipment; manufacturer or distributor of card-minding devices; manufacturer or distributor of remote caller bingo equipment or supplies; holder of a finding of suitability issued pursuant to a tribal-state compact; Indian tribe; cardroom category licensee or ~~holder of a state gambling license, holder of a key employee license; holder of a work permit;~~ TPPPS category licensee~~holder of a third-party provider of proposition player services license~~; ~~holder of a third-~~

~~party provider of proposition player services registration; holder of a gambling business license; holder of a gambling business registration;~~ including any applicant for such; ~~applicant for a state gambling license; applicant for a key employee license; applicant for a work permit; applicant for licensure as a third- party provider of proposition player services; applicant for registration as a third-party provider of proposition player services; applicant for licensure as a gambling business; applicant for registration as a gambling business;~~ applicant for registration as a manufacturer or distributor of gambling equipment; applicant for licensure as manufacturer or distributor of card-minding devices; applicant for licensure as manufacturer or distributor of remote caller bingo equipment or supplies; applicant for a finding of suitability under a tribal-state compact; or applicant for any other license, permit or approval provided for in the Gambling Control Act or the Remote Caller Bingo Act, any or any tribal-state compact. Any person in this category must~~shall~~ also disclose any interest in real property in the State of California.

…

///

///

CHAPTER 1: APPENDIX A (PROPOSED FORMS)

Notice of Contact Information Change

CGCC-CH1-01 (New 05/20)

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

☐ Cardroom Business Licensee	☐ Cardroom Endorsee Licensee	☐ Key Employee Licensee	☐ Commission Work Permitee
☐ TPPPS Business Licensee	☐ TPPPS Endorsee Licensee	☐ TPPPS Supervisor Licensee	☐ TPPPS Worker Licensee
☐ Manufacturer or Distributor	☐ Designated Agent	☐ Other: _____	

SECTION 2: CHANGE IN CONTACT INFORMATION

Check each appropriate box and fill out all information as applicable.

☐ NEW RESIDENCE/PHYSICAL OFFICE ADDRESS (STREET, CITY, STATE, ZIP CODE)		
☐ NEW MAILING ADDRESS IF DIFFERENT THAN NEW OR CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE)		
☐ NEW PRIMARY NUMBER:	☐ NEW ALTERNATIVE PHONE NUMBER:	☐ NEW FAX NUMBER:
☐ 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.*

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:	*(name and address of person being subpoenaed)*
1. At the request of: ☐ Bureau of Gambling Control ☐ Applicant ☐ Presiding Officer ☐ Other *(party name)* _____	*(name, address and telephone number of contact person)*

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:**

☐	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.
☐	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** _____ *(date)*, **send the records to**: ***NOTE****: This manner of production may not satisfy the requirements of Evidence Code section 1561 for admission at hearing.*
☐	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) _____

☐ Attorney for Bureau of Gambling Control
☐ Attorney for Applicant
☐ Presiding Officer

*(Printed Name)*_____

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)

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 issue 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 PREFERENCE

PLEASE ANSWER **ONE** OF THE FOLLOWING (IF YOU REQUIRE ASSISTANCE, PLEASE CONTACT THE COMMISSION AT (916) 263-0700):

☐	I UNDERSTAND ENGLISH AND HAVE READ AND UNDERSTAND THIS FORM.	
☐	I DO NOT UNDERSTAND ENGLISH AND HAVE HAD AN INTERPRETER READ AND EXPLAIN THIS FORM TO ME.	
☐	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:

☐	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:	
☐	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:

☐	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:	
☐	I REQUEST THAT ALL NOTICES OR WRITTEN COMMUNICATIONS FOR PURPOSES OF THE EVIDENTIARY HEARING BE PROVIDED TO ME VIA EMAIL, INSTEAD OF VIA MAIL.
☐	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)

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). The Bureau Chief has the authority to require a designated agent to be appointed, it if is determined that such a need exists [Title 11, Cal. Code Regs., Section 2030(a) and (b)]. If not designating a person to serve as your agent, write "N/A" in sections two and three and complete the bottom portion of this form. If designating more than one individual submit one form for each designated agent. All information must be typed or printed legibly in blue or black ink. **This designation supersedes any previous appointment for this Designated Agent.** This designation will remain in effect until such time as the Bureau receives written notification of withdrawal of an appointment and/or a revised Appointment of Designated Agent for this designated agent.

Any designation does not infringe, limit, or waive any form of confidentiality or privacy.

SECTION 1: APPLICANT INFORMATION

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 1: APPENDIX A (REPEALED FORMS)

State of California
California Gambling Control Commission
2399 Gateway Oaks Drive, Suite 220
Sacramento, CA 95833
(916) 263-0700; Fax: (916) 263-0452
www.cgcc.ca.gov

NOTICE OF CONTACT INFORMATION CHANGE

CGCC – 032 (Rev. 06/12)

To notify the Bureau of Gambling Control (Bureau) of a change in contact information (as required in Title 4, CCR, Section 12004), complete this form and submit it to: **Bureau of Gambling Control, Post Office Box 168024, Sacramento, CA 95816-8024.** *This form should only be used to notify the Bureau of a change in contact information. To notify the Bureau of the physical relocation of a gambling establishment, please use form CGCC-050 (New 06/12).*

Type or print (in ink) all required information on this form.

SECTION 1- INFORMATION

Name of License Holder:

License / Permit / Registration Number:

Type of License / Permit / Approval:

- ☐ Owner Licensee (Gambling Enterprise)
- ☐ Endorsed Licensee (Gambling Enterprise)
- ☐ Key Employee
- ☐ Work Permit
- ☐ TPPPPS - Owner
- ☐ TPPPPS - Supervisor
- ☐ TPPPPS - Player
- ☐ Gambling Business - Owner
- ☐ Gambling Business - Supervisor
- ☐ Gambling Business - Player
- ☐ Manufacturer or Distributor
- ☐ Designated Agent
- ☐ Other: _____

SECTION 2 – CHANGE OF CONTACT INFORMATION

Check each appropriate box and fill out all information as applicable.

☐ NEW Mailing Address:

☐ NEW Phone Number:

☐ NEW FAX Number:

☐ NEW Email Address:

SECTION 3 – DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form, is true, correct, and complete, and that I am authorized to submit this information to the Bureau.

Signature:

Date:

Printed Name and Title: _____

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:	*(name and address of person being subpoenaed)*
1. At the request of: ☐ Bureau of Gambling Control ☐ Applicant ☐ Presiding Officer ☐ Other *(party name)*	*(name, address and telephone number of contact person)*

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:**

☐	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.
☐	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** _____ *(date)*, **send the records to:** ***NOTE**: This manner of production may not satisfy the requirements of Evidence Code section 1561 for admission at hearing.*
☐	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) _____

☐ Attorney for Bureau of Gambling Control
☐ Attorney for Applicant
☐ Presiding Officer

*(Printed Name)*_____

BEFORE THE CALIFORNIA GAMBLING CONTROL COMMISSION

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)

CHAPTER 2: APPENDIX A (PROPOSED FORMS)

Badge Replacement Request

CGCC-CH2-01 (New 05/20)

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)

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 PURSING THE APPLICATION AND I WISH TO WITHDRAWAL MY APPLICATION PURSUANT TO TITLE 4, CCR, SECTION 12015. ☐ YES ☐ NO

☐ I AM NO LONGER EMPLOYED WITH: _____ (Name of Owner Category Licensee) ; and, as of: _____ (Date)

HAVE ACCEPTED EMPLOYMENT WITH: _____ (Name of Owner Category Licensee)

☐ I AM CURRENTLY EMPLOYED WITH: _____ (Name of Owner Category Licensee) ; and, as of: _____ (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)

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)

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)

☐ Key Employee License

☐ TPPPS Supervisor License

☐ Commission Work Permit

☐ TPPPS Worker License

B) Select if this is an Application for an Initial or Renewal License (Check Appropriate Box)

☐ **Initial Application**

- 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

☐ **Renewal Application**

- 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

☐ **Additional Request for a Temporary License**

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.

1.	Have you been a party to any civil litigation since last filing a license or Commission work permit application?	☐ Yes ☐ No
2.	Have you been named in any administrative action affecting any license certification since last filing a license or Commission work permit application?	☐ Yes ☐ 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.	☐ Yes ☐ 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?	☐ Yes ☐ No
5.	Have you entered into any new agreements? If yes, attach a list of agreements including the amount and all contracting parties.	☐ Yes ☐ 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)

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)

☐ **Cardroom Business License**
The sole proprietor, LLC, corporation, partnership, trust, or business entity that operates a gambling establishment

☐ **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.

☐ **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.

☐ **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)

☐ **Initial Application**

- $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

☐ **Initial Application with Request for Temporary License**

- $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.

☐ **Renewal Application**

- $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
-

☐ **BADGE REQUIRED**

- $25 Application Fee

☐ **BADGE REQUIRED**

- $25 Application Fee

☐ **BADGE REQUIRED**

- $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?	☐ Yes ☐ No
2. Have you been named in any administrative action affecting any license certification since last filing a license application?	☐ Yes ☐ 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.	☐ Yes ☐ 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?	☐ Yes ☐ No
5. Have you transferred any ownership interest to any individual or into a Trust since last filing a license application?	☐ Yes ☐ No
6. Do you have a financial interest in the cannabis industry? If yes, answer question 7.	☐ Yes ☐ 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?	☐ Yes ☐ 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?	☐ Yes ☐ 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?	☐ Yes ☐ 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?	☐ Yes ☐ 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?	☐ Yes ☐ 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?	☐ Yes ☐ No

SECTION 3: CARDROOM BUSINESS LICENSE OPERATIONS

Complete this section only for an owner licensee.

☐ GAMING HOURS 24 HOURS/365 DAYS OR:	SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
OPENING TIME							
CLOSING TIME							
☐ BUSINESS OFFICE HOURS SAME AS GAMING HOURS OR:	SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
OPENING TIME							
CLOSING TIME							

NUMBER OF PERMANENT TABLES OPERATING OR TO BE OPERATED IN THE GAMBLING ESTABLISHMENT:	

NAME OF PROPOSED GAMES

INDICATE ENDORSED OWNERS

Identify all individual officers (President, Secretary, Treasurer, and Chief Financial Officer), directors, shareholders, partners, members, etc. of the entity. For Trusts, identify the Trustor and any Trustees. For officers and directors of corporations with no ownership interest, enter 0% in the ownership column. If a section does not apply, write "N/A" (not applicable). If additional space is needed, please use separate sheets of paper.

Entity /Individual's Name	Title	Ownership /Membership Interest Percentage	Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.)
		%	
		%	
		%	
		%	
		%	

SECTION 4: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (a), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN 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**

☐ NOTE: INITIAL APPLICANTS MUST ALSO ATTACH A COMPLETED SUPPLEMENTAL BACKGROUND INFORMATION FORM, AS INDICATED BELOW:

Cardroom business licensee or TPPPS business licensee: Business Entity: Supplemental Information, CGCC-CH2-06 (New 05/20) in addition to any other form required below

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

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

*Trust Applicants: 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

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):		
☐ TPPPS Business License	☐ TPPPS Endorsee License (entity)	☐ TPPPS Funding Source (entity)
☐ Cardroom Business License	☐ Cardroom Endorsee License (entity)	

SECTION 1: ENTITY STRUCTURE

- ☐ General Partnership
- ☐ Limited Partnership
- ☐ Joint Venture
- ☐ Limited Liability Company
- ☐ Other: _____
- ☐ Corporation:
  - ☐ Publicly Traded
  - ☐ Private:
    - ☐ Sub-Chapter S
    - ☐ Sub-Chapter C

SECTION 2: BUSINESS ENTITY INFORMATION

NAME OF APPLICANT (CORPORATION, LIMITED LIABILITY COMPANY, PARTNERSHIP, ETC.)	NAME USED FOR BUSINESS IF DIFFERENT FROM APPLICANT
MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE)	
PHYSICAL OFFICE ADDRESS IF DIFFERENT THAN ABOVE (STREET, CITY, STATE, ZIP CODE)	
ADDRESS WHERE BUSINESS RECORDS ARE MAINTAINED (STREET, CITY, STATE, ZIP CODE)	

TELEPHONE NUMBER	FAX NUMBER	FEDERAL TAX ID NUMBER	STATE TAX ID NUMBER
EMAIL ADDRESS (IF APPLICABLE)		WEBSITE ADDRESS (IF APPLICABLE)	

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)? ☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS.

1) BUSINESS NAME	STATE/PROVINCE, COUNTRY
2) BUSINESS NAME	STATE/PROVINCE, COUNTRY

B) DOES THIS BUSINESS ENTITY HAVE PARENT COMPANIES, SUBSIDIARIES, OR AFFILIATES? ☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH ORGANIZATION CHART.

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? ☐ YES ☐ NO

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."

1) NAME OF EMPLOYEE (LAST, FIRST, MIDDLE)	ADDRESS (STREET, CITY, STATE, ZIP CODE)
BONUS/PROFIT SHARING	COMPENSATION ARRANGEMENT
2) NAME OF EMPLOYEE (LAST, FIRST, MIDDLE)	ADDRESS (STREET, CITY, STATE, ZIP CODE)
BONUS/PROFIT SHARING	COMPENSATION ARRANGEMENT

SECTION 3: LICENSING INFORMATION

A) HAS THE BUSINESS ENTITY EVER APPLIED FOR OR BEEN ISSUED A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY **RELATED TO GAMING** IN ANY JURISDICTION?

IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL, STATE, LOCAL, OR INTERNATIONAL), INCLUDING THE COMMISSION, TO WHICH THIS BUSINESS HAS APPLIED (INCLUDE ANY APPLICATIONS THAT WERE APPROVED, SURRENDERED, WITHDRAWN, DENIED, AND/OR ARE PENDING).

IF THIS APPLICANT CURRENTLY HOLDS A VALID 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 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.			☐ YES ☐ 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.			☐ YES ☐ NO
1) APPROXIMATE DATE FILED (MM/DD/YYYY)	PARTIES INVOLVED		CASE NUMBER
COURT LOCATION (CITY, STATE)	DISPOSITION DATE (MM/DD/YYYY)		FINAL DISPOSITION
BRIEFLY EXPLAIN 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.		☐ YES ☐ 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. 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

F) HAS THE BUSINESS ENTITY HAD ANY ASSETS REPOSSESSED OR HAD AN UNPAID DEBT/LOAN TURNED OVER TO A COLLECTION AGENCY OR DEEMED UNCOLLECTIBLE (CHARGE-OFF) FOR ANY REASON WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID 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).

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.	☐ YES ☐ 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.	☐ 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)

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.	☐ YES	☐ 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).	☐ YES ☐ 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.

☐ YES ☐ 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.

- ☐ BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037
- ☐ APPOINTMENT OF DESIGNATED AGENT [CGCC-CH1-04 (NEW 05/20)] – **PROVIDE ORIGINAL**
- ☐ IF CORPORATION: CURRENT ARTICLES OF INCORPORATION, STATEMENT OF INFORMATION, AND BYLAWS
- ☐ IF LIMITED LIABILITY COMPANY (LLC): CURRENT ARTICLES OF ORGANIZATION, OPERATING AGREEMENT, AND STATEMENT OF INFORMATION
- ☐ IF LIMITED PARTNERSHIP: CERTIFICATE OF LIMITED PARTNERSHIP, PARTNERSHIP AGREEMENT, AND OPERATING AGREEMENT
- ☐ IF PARTNERSHIP: PARTNERSHIP AGREEMENT AND STATEMENT OF PARTNERSHIP AUTHORITY IF ONE WAS FILED
- ☐ ORGANIZATIONAL CHART – SHOWS NAMES OF SUPERVISORS, JOB TITLES, NUMBER OF EMPLOYEES REPORTING TO SUPERVISORS AND LINES OF ACCOUNTABILITY
- ☐ BUSINESS OWNERSHIP ORGANIZATIONAL CHART – SHOW ENTITY'S OWNERSHIP HIERARCHY CONSISTENT WITH BUSINESS AND PROFESSIONS CODE SECTION 19852, IF APPLICABLE
- ☐ FICTITIOUS BUSINESS NAME FILING
- ☐ MANAGEMENT COMPANY/CONSULTANT AGREEMENT, IF APPLICABLE
- ☐ ANY ACTIVE STATE OR LOCAL LICENSE, PERMIT, OR REGISTRATION
- ☐ LOAN DOCUMENTATION RELATING TO THE PURCHASE OF THE CARDROOM BUSINESS LICENSEE/TPPPS BUSINESS LICENSEE, IF APPLICABLE
- ☐ FEDERAL AND STATE BUSINESS TAX RETURNS – INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS
- ☐ INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T) – **PROVIDE ORIGINAL**
- ☐ PROVIDE A COPY OF ANY TAXING AUTHORITY AUDIT RESULTS/FINDINGS
- ☐ CURRENT FISCAL YEAR AND PRIOR TWO YEARS BALANCE SHEETS AND INCOME STATEMENTS FOR EACH BUSINESS
- ☐ MONTHLY BANK STATEMENTS – COPIES OF ALL MONTHLY STATEMENTS FOR ALL BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS
- ☐ MONTHLY/QUARTERLY INVESTMENT STATEMENTS FOR ALL BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS
- ☐ BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE)
- ☐ SCHEDULES A THROUGH K FROM SUPPLEMENTAL INFORMATION: SCHEDULES [CGCC-CH2-11 (NEW 05/20)] – **PROVIDE ORIGINAL**
- ☐ CURRENT COPY OF BUSINESS LICENSE/TAX CERTIFICATE
- ☐ CURRENT CONDITIONAL USE PERMIT, IF APPLICABLE
- ☐ ALL CURRENT LEASE/RENTAL AGREEMENTS OR PURCHASE DOCUMENTS

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

The following documents pertain only to a cardroom business license:

- ☐ STATEMENT FOR CHIPS IN USE ACCOUNT (MOST RECENT)
- ☐ STATEMENT FOR PLAYERS' BANK ACCOUNT (MOST RECENT)
- ☐ CHART OF ACCOUNTS REQUIRED PURSUANT TO TITLE 4, CAL. CODE REGS., SECTION 12312(D)
- ☐ CARDROOM SECURITY PLAN/CARDROOM FLOOR AND GAMBLING TABLE LAYOUT (BUSINESS AND PROFESSIONS CODE §19924)
- ☐ EMERGENCY PREPAREDNESS AND EVACUATION PLAN (CAL. CODE REGS., TITLE 4, §12370)
- ☐ RULES FOR ALL GAMES AND GAMING ACTIVITIES, INCLUDING A DESCRIPTION OF THE EVENT THAT DETERMINES THE WINNER OF THE GAME OR GAMING ACTIVITY, WAGERING CONVENTIONS,

AND THE FEE COLLECTION AND ASSESSMENT METHODS (CAL CODE REGS., TITLE 11, §2071)

Pursuant to Business and Professions Code section 19867, the applicant is responsible for all costs incurred by the Bureau related to the background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required deposits and fees are received.

SECTION 10: DECLARATION

I declare under penalty of perjury under the laws of the State of California that 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)

California Gambling Control Commission

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

☐ RESIDENT ALIEN ☐ NATURALIZED CITIZEN ☐ EMPLOYMENT AUTHORIZED ☐ 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?	☐ YES ☐ 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.

☐ Sole Proprietor	☐ Officer	☐ Trustor	☐ Financial Interest Holder
☐ General Partner	☐ Director	☐ Trustee	☐ TPPPS Funding Source
☐ Limited Partner	☐ Landlord	☐ Current Beneficiary	☐ Community Property Interest
☐ Shareholder	☐ LLC Member	☐ Contingent Beneficiary	☐ Other: _____

SECTION 2: FAMILY/COHABITANT INFORMATION

A) RELATIONSHIP STATUS

☐ SINGLE ☐ MARRIED ☐ REGISTERED DOMESTIC PARTNER ☐ DIVORCED ☐ WIDOWED ☐ 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: ☐ ENTRY LEVEL ☐ HONORABLE ☐ GENERAL ☐ OTHER THAN HONORABLE ☐ BAD CONDUCT ☐ DISHONORABLE
☐ 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, 1203A, 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 BOOKMAKING OR KNOWINGLY ENGAGED IN OTHER ILLEGAL GAMBLING ACTIVITIES?	☐ YES ☐ NO
D) HAVE YOU EVER BEEN FOUND IN VIOLATION OF ANY CAMPAIGN LAWS?	☐ YES ☐ NO
E) ARE YOU CURRENTLY ON PROBATION?	☐ YES ☐ NO

IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS.

F) HAVE YOU 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. IF YES, PROVIDE THE FOLLOWING DETAILS.	☐ YES ☐ NO

1) APPROXIMATE DATE FILED (MM/DD/YYYY)	PARTIES INVOLVED	CASE NUMBER
COURT LOCATION (CITY, STATE)	DISPOSITION DATE (MM/DD/YYYY)	FINAL DISPOSITION
BRIEFLY EXPLAIN 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	☐ OWN ☐ RENT
2) FORMER ADDRESS (NUMBER/STREET/APT)			FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP CODE	☐ OWN ☐ RENT
3) FORMER ADDRESS (NUMBER/STREET/APT)			FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP CODE	☐ OWN ☐ RENT
4) FORMER ADDRESS (NUMBER/STREET/APT)			FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP CODE	☐ OWN ☐ 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? ☐ YES ☐ 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.				☐ YES ☐ NO
2) NAME OF PRIOR EMPLOYER			FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
JOB TITLE/DUTIES		MONTHLY EARNINGS	GAMING RELATED? ☐ YES ☐ 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? ☐ YES ☐ 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? ☐ YES ☐ 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 **RELATED TO GAMING** IN ANY JURISDICTION?

IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL, STATE, LOCAL, OR INTERNATIONAL), INCLUDING THE CALIFORNIA GAMBLING CONTROL COMMISSION, TO WHICH YOU HAVE APPLIED (INCLUDE ANY APPLICATIONS THAT WERE APPROVED, SURRENDERED, WITHDRAWN, DENIED, AND/OR ARE PENDING).

IF THIS APPLICANT CURRENTLY HOLDS A VALID 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.		

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.

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	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

	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN
☐ JUDGMENT ☐ 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

	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN
☐ JUDGMENT ☐ 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 ☐ NO

ADDRESS OF FORECLOSED PROPERTY (STREET, CITY, STATE, ZIP CODE)	DATE OF FORECLOSURE (MM/DD/YYYY)	NAME OF LENDER
EXPLAIN THE CIRCUMSTANCES THAT LEAD TO THE FORECLOSURE		

F) DO YOU OWN, CONTROL, OR MANAGE ANY ASSETS OUTSIDE THE U.S., OR HAVE ANY LIABILITIES OUTSIDE OF THE U.S.? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID 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.			☐ Yes ☐ 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.	☐ Yes ☐ 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.		☐ 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		
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.		☐ Yes ☐ 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?	☐ Yes ☐ 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.

- ☐ BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037
- ☐ APPOINTMENT OF DESIGNATED AGENT [CGCC-CH1-04 (NEW 05/20)] – **PROVIDE ORIGINAL**
- ☐ SPOUSAL INFORMATION [CGCC-CH2-12(NEW 05/20)] – **PROVIDE ORIGINAL**
- ☐ MILITARY FORM DD-214 (A COMPLETE "UNDELETED" COPY), OR EQUIVALENT, IF APPLICABLE
- ☐ ALL ACTIVE BADGES, PERMITS, ETC. ISSUED BY A CALIFORNIA CITY OR COUNTY (FRONT AND BACK COPY)
- ☐ MANAGEMENT COMPANY/CONSULTANT AGREEMENT RELATING TO THE GAMING RELATED BUSINESS, IF APPLICABLE
- ☐ FEDERAL AND STATE INDIVIDUAL AND BUSINESS TAX RETURNS. INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS
- ☐ INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T). **PROVIDE ORIGINAL**
- ☐ CURRENT BALANCE SHEET AND INCOME STATEMENT FOR YOURSELF AND ALL OF YOUR BUSINESSES FOR THE MOST RECENT CALENDAR YEAR
- ☐ MONTHLY BANK STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS
- ☐ MONTHLY/QUARTERLY INVESTMENT ACCOUNT STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS
- ☐ BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE)
- ☐ 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)

California Gambling Control Commission

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

☐ RESIDENT ALIEN ☐ NATURALIZED CITIZEN ☐ EMPLOYMENT AUTHORIZED ☐ 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?	☐ YES ☐ 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

☐ SINGLE ☐ MARRIED ☐ REGISTERED DOMESTIC PARTNER ☐ DIVORCED ☐ WIDOWED ☐ 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? ☐ YES ☐ NO
IF YES, PROVIDE THE FOLLOWING DETAILS.

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.

☐ 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.

☐ 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.)

☐ 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: ☐ Entry Level ☐ Honorable ☐ General ☐ Other than Honorable ☐ Bad Conduct ☐ Dishonorable ☐ 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, 1203A, 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 BOOKMAKING OR KNOWINGLY ENGAGED IN OTHER ILLEGAL GAMBLING ACTIVITIES?	☐ YES ☐ NO
D) HAVE YOU EVER BEEN FOUND IN VIOLATION OF ANY CAMPAIGN LAWS?	☐ YES ☐ NO
E) ARE YOU CURRENTLY ON PROBATION?	☐ YES ☐ NO

IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS.

F) HAVE YOU, AS AN INDIVIDUAL OR IN CONNECTION WITH ANY BUSINESS ENTITY, BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?

A LAWSUIT OR ARBITRATION THAT HAS BEEN SEALED OR ALLOWED TO PROCEED ANONYMOUSLY PURSUANT TO A COURT ORDER NEED NOT BE PROVIDED.

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) 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	☐ OWN ☐ 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	☐ OWN ☐ 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	☐ OWN ☐ 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	☐ OWN ☐ 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? ☐ YES ☐ 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? ☐ YES ☐ NO
IF YES, PROVIDE A COPY. IF NOT SUBMIT A COPY OF YOUR CURRENT DUTY STATEMENT/JOB DESCRIPTION.

2) NAME OF PRIOR EMPLOYER			FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
JOB TITLE/DUTIES		MONTHLY EARNINGS	GAMING RELATED? ☐ YES ☐ 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? ☐ YES ☐ 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? ☐ YES ☐ 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).

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.		

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.			☐ 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.			

D) 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

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

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.

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

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.

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 A JUDGMENT OR LIEN FILED AGAINST YOU OR HAD YOUR WAGES GARNISHED WITHIN THE LAST 10 YEARS?
IF YES, PROVIDE THE FOLLOWING DETAILS.

IF THIS APPLICANT CURRENTLY HOLDS A VALID 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 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? ☐ 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.

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.? ☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS.

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? ☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS.

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? ☐ 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) 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

BUREAU USE ONLY
BGC ID# _____

MAIL COMPLETED FORM AND DEPOSIT TO:
BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide supplemental information for Trusts required to be licensed under the Gambling Control Act (Act).

A **current beneficiary** of the trust must also be licensed if the beneficiary receives a distribution or income from a Trust which holds the assets of a business or person that requires licensure. [Business and Professions Code sections 19850, 19852(e), and 19852(h)]. 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	ORIGINAL DATE OF TRUST (MM/DD/YYYY)	AMENDMENT DATE(S) (MM/DD/YYYY)
☐ REVOCABLE ☐ IRREVOCABLE		

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 ☐ YES ☐ NO	SIGNATURE AUTHORITY OVER TRUST DISBURSEMENTS ☐ YES ☐ NO
2) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME	AUTHORITY OVER TRUST INVESTMENTS ☐ YES ☐ NO	SIGNATURE AUTHORITY OVER TRUST DISBURSEMENTS ☐ YES ☐ 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 INFORMATION

A) 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.

☐ 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 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. 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 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? ☐ YES ☐ 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)

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.

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

☐ 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

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.			☐ YES ☐ 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.		☐ YES ☐ 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.			☐ YES ☐ 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.		☐ YES ☐ 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.		☐ YES ☐ 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.

- ☐ BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037
- ☐ APPOINTMENT OF DESIGNATED AGENT (CGCC-CH1-04) – **PROVIDE ORIGINAL**
- ☐ TRUST DOCUMENT AND ALL AMENDMENTS, INCLUDING ITEMIZED LIST OF ALL ASSETS HELD IN THE TRUST – **PROVIDE SIGNED COPIES**
- ☐ SUMMARY (IN APPROXIMATELY TWO PAGES) OF THE TERMS OF THE TRUST (INCLUDING ANY AMENDMENTS), INCLUDING CONTINGENCIES, IF ANY, THAT IMPACT THE STATUS OF INTERESTS IN THE TRUST AND/OR TRUST DISTRIBUTIONS
- ☐ IF THE TRUST FILES SEPARATE TAX RETURNS, PROVIDE FEDERAL AND STATE TAX RETURNS – INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS
- ☐ INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T) FOR THE TRUST, IF APPLICABLE – **PROVIDE ORIGINAL**
- ☐ CURRENT FISCAL YEAR AND PRIOR TWO YEARS BALANCE SHEETS AND INCOME STATEMENTS FOR THE TRUST AND ALL BUSINESS OWNED BY THE TRUST
- ☐ MONTHLY BANK STATEMENTS – COPIES OF ALL MONTHLY STATEMENTS FOR ALL TRUST ACCOUNTS FOR THE LAST 12 MONTHS
- ☐ MONTHLY/QUARTERLY INVESTMENT STATEMENTS FOR ALL TRUST ACCOUNTS FOR THE LAST 12 MONTHS
- ☐ BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE)
- ☐ 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

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

☐ RESIDENT ALIEN ☐ NATURALIZED CITIZEN ☐ EMPLOYMENT AUTHORIZED ☐ 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

☐ SINGLE ☐ MARRIED ☐ REGISTERED DOMESTIC PARTNER ☐ DIVORCED ☐ WIDOWED ☐ 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.	☐ 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

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: ☐ ENTRY LEVEL ☐ HONORABLE ☐ GENERAL ☐ OTHER THAN HONORABLE ☐ BAD CONDUCT ☐ DISHONORABLE
☐ 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

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, 1203A, 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? ☐ YES ☐ NO

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.

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 BOOKMAKING OR KNOWINGLY ENGAGED IN OTHER ILLEGAL GAMBLING ACTIVITIES? ☐ 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 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	☐ OWN ☐ RENT
2) FORMER ADDRESS (NUMBER/STREET/APT)				FROM (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP CODE	☐ OWN ☐ RENT
3) FORMER ADDRESS (NUMBER/STREET/APT)				FROM (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP CODE	☐ OWN ☐ RENT
4) FORMER ADDRESS (NUMBER/STREET/APT)				FROM (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP CODE	☐ OWN ☐ 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? ☐ YES ☐ 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.	☐ YES ☐ NO

2) NAME OF PRIOR EMPLOYER			FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
JOB TITLE/DUTIES		MONTHLY EARNINGS	GAMING RELATED? ☐ YES ☐ 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? ☐ YES ☐ 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? ☐ YES ☐ 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? ☐ YES ☐ 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).

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.		

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.

☐ 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.			

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

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.									
			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)

SCHEDULE F – ASSETS

Other Assets

List all other assets, including those for which monies are still owed (e.g., cars, art collections, coin collections, antiques, furniture, etc.).

TYPE OF ASSET	DESCRIPTION	DATE OF PURCHASE	PURCHASE PRICE	YEAR END MARKET VALUE*
		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 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 business entity). Please submit copies of loan agreements for any loans not obtained from a financial institution.

Name of Creditor	Last 6 Digits of Account Number	Collateral (If Applicable)	Date Incurred	Maturity Date	Payment Amount	Payment Period (e.g., Weekly, Monthly, etc.)	Interest Rate	Original Note Amount	Year End Balance*	Current Balance	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)

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.

☐ 1) THE OWNER CATEGORY LICENSE OR OWNERSHIP INTEREST IN THE OWNER CATEGORY LICENSE IS COMMUNITY PROPERTY OF THE APPLICANT AND SPOUSE.

☐ 2) THE SPOUSE IS INVOLVED, DIRECTLY OR INDIRECTLY, WITH ANY MANAGEMENT DECISIONS, OF ANY NATURE, REGARDING THE OPERATION OF THE OWNER CATEGORY LICENSE.

☐ 3) THE SPOUSE HAS DIRECT OR INDIRECT AUTHORITY OR INFLUENCE IN THE DECISION-MAKING PROCESS RELATED TO THE OPERATION OF THE OWNER CATEGORY LICENSE.

☐ 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.

☐ 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:

Spouse	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.
Spouse	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.
Spouse	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.
Spouse	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.
Spouse	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.
Spouse	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.
Spouse	Applicant	ANY INVOLVEMENT BY THE SPOUSE IN ANY ACTIVITY OR CONDUCT FOR WHICH A FINDING OF SUITABILITY, A PERMIT, OR A LICENSE IS, OR MAY BE, REQUIRED PURSUANT TO THE ACT WITHOUT FIRST OBTAINING ANY REQUIRED FINDING OF SUITABILITY, PERMIT OR LICENSE MAY BE MAY BE USED AS GROUNDS FOR A DENIAL, OR SUBSEQUENT REVOCATION OF THE APPLICANT'S LICENSE.
Spouse	Applicant	THAT IF ANY STATEMENT IN THIS DECLARATION OF SOLE AND SEPARATE PROPERTY IS FALSE, 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)

Authorization to Release Information

CGCC-CH2-13 (New 05/20)

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

1. I have applied for a license, registration, permit, or other approval under the California Gambling Control Act (Act), California Business and Professions Code section 19800 et seq. I understand that under the Act, the Department of Justice, Bureau of Gambling Control (Bureau) is responsible for investigating applicants for licenses, registrations, permits and approvals and reporting its findings to the California Gambling Control Commission (Commission), which acts on these applications. I understand that I am seeking the granting of a privilege and acknowledge that the burden of proving my qualifications for a favorable determination is at all times on me, the applicant. Under the circumstances specified in Business and Professions Code section 19828, "any communication or publication from, or concerning, an applicant, licensee, or registrant, in oral, written, or any other form, is absolutely privileged and so will not form a basis for imposing liability for defamation or constitute a ground for recovery in any civil action."

2. I understand that by signing this authorization I am permitting the release of all records pertaining to me, including but not limited to financial (e.g., records from financial institutions, tax and credit agencies), employment, military, court, criminal, and other licensing records. Records from financial institutions include bank statements and account information such as number of accounts and account balances. Records from tax agencies include, for example, copies of federal tax returns.

3. I hereby authorize and request all persons, entities, and government agencies to which this Authorization is presented, having information contained in, relating to, or concerning any of the records enumerated in paragraph 2, above, to furnish such information to a representative of the Bureau.

4. I hereby authorize and request all persons, entities, and government agencies to which this Authorization is presented, having documents contained in, relating to, or concerning any of the records enumerated in paragraph 2, above, to permit a representative of the Bureau to review any copy of such documents.

5. I hereby authorize a reproduction of this request to be treated as valid for all intents and purposes as the original.

Executed at _____ on the _____ day of _____, 20_____.
City, State

This release form will be valid for 24 months from the date of the execution.

_____ Applicant's Signature

_____ Printed Name

Signature of Bureau Representative presenting this request.

_____ Signature Date

_____ Printed Name

STATE OF CALIFORNIA
BCIA 8016
(Rev. 05/2018)

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 Street Address or P.O. Box

City State ZIP Code

Your Number: OCA Number (Agency Identifying Number)

Level of Service: ☐ DOJ ☐ FBI
(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:
(Must provide proof of rejection)

Original ATI Number

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 2: INCORPORATED BY REFERENCE (REPEALED FORMS)

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR INITIAL REGULAR WORK PERMIT/TEMPORARY WORK PERMIT
BGC-021 (Rev. 07/17)

Please read the instructions listed on this form. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant. **PLEASE SEND COMPLETED APPLICATIONS TO: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024**

PLEASE TYPE OR PRINT ALL INFORMATION

PART I – All Applicants

APPLICANT NAME		SOCIAL SECURITY NUMBER**
HOME ADDRESS		
MAILING ADDRESS (*IF DIFFERENT THAN HOME ADDRESS*)		
PHONE NUMBER ( )	E-MAIL ADDRESS (optional)	DATE OF BIRTH
TITLE AND DESCRIPTION OF JOB DUTIES:		

Please indicate answers with an X in the appropriate box

1. Are you a U.S. citizen?	Yes	No
2. Are you a resident alien?	Yes	No

PART II – Temporary Work Permit Applicants ONLY

Please indicate answer with an X in the appropriate box

1. Do you wish to be considered for a temporary work permit?	Yes	No
2. Have you included confirmation of Live Scan fingerprints?	Yes	No
3. Have you ever been convicted of a felony?	Yes	No
4. Within the last ten years, have you been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities, violations of the Gambling Control Act, or dishonesty or moral turpitude, not including convictions that have been expunged or dismissed as provided by law?	Yes	No
5. Have you ever had a gambling license or work permit denied?	Yes	No
6. Have you ever had a gambling license or work permit revoked?	Yes	No

PART III – All Applicants

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Signature of Applicant _____ Date _____

I hereby authorize the Bureau of Gambling Control, or its representatives, to furnish any information of any nature concerning me to the California Gambling Control Commission and the licensed gambling establishment for which I am seeking employment. This authorization does not supersede or replace the Authorization to Release Information form (BGC-APP-006 (Rev 07/17)) required to be submitted with the application for use by the Bureau of Gambling Control. Both authorizations are required to be part of the application package.

Signature of Applicant _____ Date _____

PART IV – All Applicants			
	NAME OF GAMBLING ESTABLISHMENT		
	MAILING ADDRESS		
	PHONE NUMBER ( )	FAX NUMBER (If any) ( )	E-MAIL ADDRESS (If any)
	Signature of Owner/Hiring Authority/Designated Agent	Name and Title (Print)	Date

INSTRUCTIONS FOR
INITIAL REGULAR WORK PERMIT/TEMPORARY WORK PERMIT

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. An application for a work permit (BGC-021 (Rev. 07/17)) shall be submitted to the Bureau of Gambling Control (Bureau) when the local licensing authority does not have a work permit process in place, or where a work permit is not required by the local licensing authority of a city, county, or city and county.

All individuals applying for a regular work permit must complete and submit the following:

1. Parts I, III & IV of the Initial Regular Work Permit/Temporary Work Permit Application (BGC-021 (Rev. 07/17)).
2. Work Permit Questionnaire (BGC-LIC-049 (Rev. 11/07))
3. Authorization to Release Information (BGC-APP-006 (Rev. 07/17))
4. A 2X2 inch, passport-style color photograph taken within the last 30 days.
5. A photocopy of your current California Driver's License or California Identification Card.
6. If you have been naturalized, provide a legible photocopy of your Certificate of Naturalization.
7. If you are a resident alien, provide a legible photocopy (front and back) of your resident alien card.
8. A non-refundable $250.00 application fee. Checks should be made payable to the **Bureau of Gambling Control**. This application fee is in addition to the fee paid to the Live Scan provider for processing your fingerprints.
9. Fingerprints must be submitted via Live Scan as follows:
   Take the Request for Live Scan Service form, BCII 8016, to a live scan provider, whereupon fingerprints will be processed via Live Scan. ***Applicants must pay for the cost associated with processing and transmitting of his/her fingerprints via Live Scan directly to the agency providing the Live Scan Service.*** Call the Live Scan facility to determine if an appointment for fingerprinting is required and the preferred method of payment (e.g., cash, cashier's check, etc.). After the fingerprints have been taken, return the **second** copy of the Request for Live Scan Service form with the work permit application package to the Bureau.

In addition to the above requirements, all applicants wishing to be considered for the issuance of a temporary work permit must complete and submit the following:

1. Part II of the Initial Regular Work Permit/Temporary Work Permit Application.
2. A second 2X2 inch, passport-style color photograph taken within the last 30 days.
3. A non-refundable $25.00 application fee made payable to the **Bureau of Gambling Control**. This fee is in addition to the above noted non-refundable application fee for the regular work permit. The total fee due for a temporary work permit is $275.00.

If the applicant does not submit all of the required documents for a temporary or regular work permit, the application is considered incomplete and will be returned to the applicant within 5 days of its receipt. In a cover letter, the Bureau will state why the application is incomplete and what documents or information will be required if the application is resubmitted. The application will not be referred for investigation until it is complete and includes all of the required information as stated above.

** Disclosure of your U.S. social security number (SSN) 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, and for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

The application for an initial regular work permit/temporary work permit can be mailed to:

For Regular Mail Delivery:	For Commercial/Personal Delivery:
Bureau of Gambling Control **P.O. Box 168024**	**Bureau of Gambling Control** **2450 Del Paso Road, Suite 100** **Sacramento, CA 95834**

If an applicant wishes to withdraw his or her application for a work permit any time prior to final action, a written request must be submitted to the California Gambling Control Commission (Commission). The request must establish that withdrawal of the application would be consistent with the public interest and the policies of the Gambling Control Act. If an applicant has applied for a temporary work permit and submits a request to withdraw the application for a regular work permit, the application for a temporary work permit shall be deemed abandoned. Application fees are non-refundable should an application be withdrawn at any time after its submittal to the Bureau.

If the holder of a valid work permit wishes to obtain a transfer of an existing work permit to another licensed gambling establishment, an Application for Transfer of Work Permit (BGC-022 (Rev. 07/17)) must be completed and submitted to the Bureau. Please refer to the Instructions listed on the Transfer of Work Permit form.

All applications, whether or not a temporary work permit is issued, will be referred for completion of a background investigation prior to the issuance of a regular work permit. The Bureau may request additional forms and documentation necessary to complete the investigative process. Please be aware that any delay in providing requested information to the Bureau, may delay the issuance of either a temporary or a regular work permit. All regular work permits will be subject to approval by the Commission at a scheduled public meeting.

A work permit applicant is seeking the granting of a privilege. The burden of proving qualifications is at all times on the applicant.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the work permit application process may be directed to:

Bureau of Gambling Control
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

You may also visit the Bureau's website at www.oag.ca.gov/gambling to view and print forms or instructions and for other helpful resources and information.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR TRANSFER OF WORK PERMIT
BGC–022 (Rev. 07/17)

Please read the instructions listed on this form. **This application is only used for the transfer of valid work permits issued by the California Gambling Control Commission as provided in California Code of Regulations Title 4, Section 12120.** Work permits issued by a local jurisdiction licensing authority may not be transferred. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant.

PLEASE TYPE OR PRINT ALL INFORMATION

Part I

APPLICANT NAME		WORK PERMIT NUMBER
HOME ADDRESS		
MAILING ADDRESS (*IF DIFFERENT THAN HOME ADDRESS*)		
PHONE NUMBER ( )	E-MAIL ADDRESS (optional)	DATE OF BIRTH
NAME OF GAMBLING ESTABLISHMENT ON YOUR EXISTING WORK PERMIT		

Part II

I would like to transfer my existing work permit to the following gambling establishment:		
NAME OF GAMBLING ESTABLISHMENT		
MAILING ADDRESS		
PHONE NUMBER ( )	FAX NUMBER (If any) ( )	E-MAIL ADDRESS (If any)
JOB TITLE AND DESCRIPTION OF DUTIES:		

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Signature of Applicant _____ Date _____

I hereby authorize the Bureau of Gambling Control, or its representatives, to furnish any information of any nature concerning me to the California Gambling Control Commission or the licensed gambling establishment for which I am employed.

Signature of Applicant _____ Date _____

I certify that this applicant has been offered a position under my employ and I have authorized his/her application for transfer of work permit.

Signature of Owner/Hiring Authority/Designated Agent _____ Name and Title (print) _____ Date _____

TRANSFER OF WORK PERMIT
INSTRUCTIONS

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. An application for a transfer of work permit (BGC-022 (Rev. 07/17)) shall be made to the Bureau of Gambling Control (Bureau) when a work permit holder has obtained his or her work permit from the California Gambling Control Commission (Commission) because the local licensing authority does not have a work permit process in place, or is not required by the local licensing authority of a city, county, or city and county.

This application is used **only** for the transfer of valid work permits issued by the Commission. Do not use this form if the current employer or the gambling establishment where you want to transfer is required to obtain their work permits from the local licensing authority. All individuals applying to **transfer** a work permit must complete and submit the following:

1. Application for Transfer of Work Permit (BGC-022 (Rev. 07/17)) signed by the applicant and by the owner/hiring agent/designated agent of the gambling establishment.
2. A 2X2, passport-style color photograph taken within the last 30 days.
3. A photocopy of your current California Driver's License or California Identification Card.
4. A photocopy of your current work permit.
5. A non-refundable $25.00 transfer application fee. Checks should be made payable to the **Bureau of Gambling Control.**

The application for transfer can be mailed to:

For Regular Mail Delivery:	For Commercial/Personal Delivery:
Bureau of Gambling Control **P.O. Box 168024** **Sacramento, CA 95816-8024**	**Bureau of Gambling Control** **2450 Del Paso Road, Suite 100** **Sacramento, CA 95834**

By submitting this application, applicants understand that they are seeking the granting of a privilege and acknowledge that the burden of proving their qualifications for a favorable determination is at all times on them.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the process of transferring a work permit may be directed to the Bureau at the above address or by telephone at (916) 227-3584. You may also find forms and other useful information by accessing the Bureau's website at: www.oag.ca.gov/gambling.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR WORK PERMIT RENEWAL
BGC–023 (Rev. 07/17)

Please read the instructions listed on this form. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant.
PLEASE SEND COMPLETED APPLICATIONS TO: Bureau of Gambling Control, P. O. Box 168024, Sacramento, CA 95816-8024

PLEASE TYPE OR PRINT ALL INFORMATION

PART I

APPLICANT NAME		WORK PERMIT NUMBER (optional)
HOME ADDRESS		SOCIAL SECURITY NUMBER**
MAILING ADDRESS (*IF DIFFERENT THAN HOME ADDRESS*)		
PHONE NUMBER ( )	E-MAIL ADDRESS (optional)	DATE OF BIRTH
TITLE AND DESCRIPTION OF JOB DUTIES:		

Please indicate answers with an X in the appropriate box

1. Are you a U.S. citizen?	Yes	No
2. Are you a resident alien?	Yes	No

PART II

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Signature of Applicant _____ Date _____

I hereby authorize the Bureau of Gambling Control, or its representatives, to furnish any information of any nature concerning me to the California Gambling Control Commission and the licensed gambling establishment for which I am seeking employment. This authorization does not supersede or replace the Authorization to Release Information form (BGC-APP-006 (Rev. 07/17)) required to be submitted with the application for use by the Bureau of Gambling Control. Both authorizations are required to be part of the application package.

Signature of Applicant _____ Date _____

PART III

NAME OF GAMBLING ESTABLISHMENT		
MAILING ADDRESS		
PHONE NUMBER ( )	FAX NUMBER (If any) ( )	E-MAIL ADDRESS (If any)

Signature of Owner/Hiring Authority/Designated Agent _____ Name and Title (Print) _____ Date _____

INSTRUCTIONS FOR WORK PERMIT RENEWAL

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. Pursuant to Business and Professions Code Section 19912, a work permit issued by the California Gambling Control Commission (Commission) is valid for two years. An Application for Work Permit Renewal (BGC–023 (Rev. 07/17)) must be submitted to the Commission 90 days before the current work permit expires.

The work permit renewal application package must include:

1. Work Permit Renewal Application (BGC–023 (Rev. 07/17)) signed by the applicant and by the owner/hiring agent/designated agent of the gambling establishment of the current employer.
2. Two passport-style color photograph taken within the last 30-days.
3. Work Permit Questionnaire (BGC-LIC-049 (Rev. 11/07)).
4. Authorization to Release Information (BGC-APP-006 (Rev. 07/17)).
5. A photocopy of your current California Driver's License or California Identification Card.
6. If you are a resident alien, provide a legible photocopy (front and back) of your resident alien card.
7. A non-refundable **$250.00** renewal fee. Checks should be made payable to the **Bureau of Gambling Control**.

The application for renewal of a work permit can be mailed to:

For Regular Mail Delivery:	For Commercial/Personal Delivery:
Bureau of Gambling Control	**Bureau of Gambling Control**
P.O. Box 168024	**2450 Del Paso Road, Suite 100**
Sacramento, CA 95816-8024	**Sacramento, CA 95834**

If an applicant wishes to withdraw his or her application for renewal of a work permit anytime prior to final action, a written request must be submitted to the California Gambling Control Commission (Commission). The request must establish that withdrawal of the application would be consistent with the public interest and the policies of the Gambling Control Act. Application fees are non-refundable should you withdraw your application at any time after its submittal to the Bureau.

If a valid work permit holder is currently employed at more than one gambling establishment whose work permits are both required to be obtained from the Commission, a renewal application must be completed for each gambling establishment, including all required fees.

All applications and questionnaires will be referred for completion of a background investigation prior to the issuance of a renewed work permit. The Bureau may request additional forms and documentation necessary to complete the investigation process. Please be aware that any delay in providing requested information to the Bureau will further delay the issuance of a renewed work permit. All work permit renewals will be subject to approval by the Commission at a scheduled public meeting.

** Disclosure of your U.S. social security number (SSN) 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, and for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

A work permit applicant is seeking the granting of a privilege. The burden of proving qualifications is at all times on the applicant.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the work permit application process may be directed to:

Bureau of Gambling Control
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

You may also visit the Bureau's website at www.oag.ca.gov/gambling to view and print forms or instructions and for other helpful resources and information.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR REPLACEMENT WORK PERMIT BADGE
BGC–026 (Rev. 07/17)

Please read the instructions listed on this form. **This application is only used for the badge replacement of valid work permits issued by the California Gambling Control Commission as provided in California Code of Regulations Title 4, Section 12120.** Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant.

PLEASE TYPE OR PRINT ALL INFORMATION

Part I			
	APPLICANT NAME		WORK PERMIT NUMBER
	HOME ADDRESS		
	MAILING ADDRESS *(IF DIFFERENT THAN HOME ADDRESS)*		
	PHONE NUMBER ( )	E-MAIL ADDRESS (optional)	DATE OF BIRTH
	NAME OF GAMBLING ESTABLISHMENT ON YOUR EXISTING WORK PERMIT		

Part II			
	I would like to replace my lost or stolen work permit badge to the following gambling establishment:		
	NAME OF GAMBLING ESTABLISHMENT		
	MAILING ADDRESS		
	PHONE NUMBER ( )	FAX NUMBER (If any) ( )	E-MAIL ADDRESS (If any)
	JOB TITLE AND DESCRIPTION OF DUTIES:		

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Signature of Applicant _____ Date _____

I hereby authorize the Bureau of Gambling Control, or its representatives, to furnish any information of any nature concerning me to the California Gambling Control Commission or the licensed gambling establishment for which I am employed.

Signature of Applicant _____ Date _____

I certify that this applicant holds a position under my employ and I have authorized his/her application for work permit badge replacement.

Signature of Owner/Hiring Authority/Designated Agent _____ Name and Title (print) _____ Date _____

INSTRUCTIONS FOR APPLICATION FOR REPLACEMENT WORK PERMIT BADGE

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. An application for a replacement work permit badge (BGC–026 (Rev. 07/17)) shall be made to the Bureau of Gambling Control (Bureau) when a work permit holder's badge has been lost or stolen.

This application is used **only** for the replacement of valid work permits issued by the Commission. All individuals applying to replace a work permit badge must complete and submit the following:

1. Application for Replacement Work Permit Badge (BGC–026 (Rev. 07/17)) signed by the applicant and by the owner/hiring agent/designated agent of the gambling establishment.
2. A 2X2, passport-style color photograph taken within the last 30 days.
3. A photocopy of your current California Driver's License or California Identification Card.
4. A non-refundable $25.00 replacement badge application fee. Checks should be made payable to the **Bureau of Gambling Control.**

The application for transfer can be mailed to:

For Regular Mail Delivery:	For Commercial/Personal Delivery:
Bureau of Gambling Control **P.O. Box 168024** **Sacramento, CA 95816-8024**	**Bureau of Gambling Control** **2450 Del Paso Road, Suite 100** **Sacramento, CA 95834**

By submitting this application, applicants understand that they are seeking the granting of a privilege and acknowledge that the burden of proving their qualifications for a favorable determination is at all times on them.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the process of replacing a work permit badge may be directed to the Bureau at the above address or by telephone at (916) 830-1700. You may also find forms and other useful information by accessing the Bureau's website at: www.oag.ca.gov/gambling.

CHAPTER 2.1: INCORPORATED BY REFERENCE (REPEALED FORMS)

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR THIRD-PARTY PROPOSITION PLAYER SERVICES LICENSE FOR BUSINESS ENTITIES AND OWNERS

BGC-433 (Rev. 10/17)

Pursuant to Business and Professions Code section 19984, except as provided in California Code of Regulations, Title 4, Section 12201(a), no person may perform in the capacity of a primary owner or owner in the provision of third-party proposition player services without a license issued by the California Gambling Control Commission (Commission). A license certificate will be issued after the application is approved by the Commission and will indicate the name of the "primary owner".

Instructions:
Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). Incomplete applications will be returned. You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item.

Please submit the following with the application for the renewal of an individual:

- ☐ Two 2x2 inch, passport-style color photographs taken within the last 12 months
- ☐ Photocopy of your current State Driver's License or State Identification Card

Send the completed application package with required fee (listed below) to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024. Please make all checks payable to the Bureau of Gambling Control.

Name of Provider of Third-Party Proposition Player Services (Business)	Name of Applicant (Individual or Entity)

Please check one box indicating whether you are applying for an *initial* or *renewal* license.

☐ **INITIAL**

Application Fee: $1000 Non-refundable (Primary Owner, Business, Individual, and Trust)

Background Deposit: $11,500 (Owner-Entity)
$6,000 (Owner-Person)
$2,500 (Owner-Trust)

The unused portion of any background deposit will be refunded.

NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.

☐ **RENEWAL**

Application Fee: $1000 Non-refundable (Primary Owner, Business, Individual, and Trust)

Background Deposit: $2,000 (Owner-Entity)
$800 (Owner-Person and Owner-Trust)

The unused portion of any background deposit will be refunded.

SECTION 1 – TYPE OF APPLICATION (check one box)

Submit the information listed below with the required fees/deposits with your initial or renewal application.

☐ **Primary Owner**: The primary owner is a sole proprietor, corporation, partnership, or other business entity that proposes to provide third-party proposition player services as an independent contractor in a gambling establishment (see California Code of Regulations, Title 4, Section 12200(b)(18)).

Sole Proprietors: Submit one application with all sections completed *except* 3a and 3b

All other Owner Types, including Trusts (As indicated in section 3a): Complete all sections *except* 4

☐ **Owner**: An owner is any other owner type not covered above, such as: an officer in a corporation, a limited partner in a partnership, any person who receives any percentage share of the revenues earned, or any funding source (see California Code of Regulations, Title 4, Section 12200(b)(16)).

Individual Applicants, including Trustors, Trustees, and Beneficiaries (As indicated in section 4): Complete sections 4, 5, 6, and 7

Entity Applicants, including Trusts (As indicated in section 3a): Complete sections 3, 5, 6, and 7.

SECTION 2 – PRIMARY OWNER INFORMATION

Attach a current organization chart for this business that includes the primary owner and all other owners that will be endorsed upon the primary owner's license.

Primary Owner Name		
Street Address		
Mailing Address (If different than above)		
Telephone Number ( )	Fax Number ( )	Website Address (If any)

SECTION 3a – ENTITY STRUCTURE (check one box)

Attach a current organization chart for the entity indicating the names and titles of any officers, shareholders, partners, members, etc. that are associated with this entity.

☐ General Partnership	☐ Corporation:	☐ Trust:
☐ Limited Partnership	☐ Publicly Traded	☐ Revocable
☐ Joint Venture	☐ Private:	☐ Irrevocable
☐ Limited Liability Company	☐ Sub-Chapter S	
☐ Other: _____	☐ Sub-Chapter C	

SECTION 3b – ENTITY INFORMATION

Please provide the information below for the entity structure indicated in section 3a. 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, enter 0% in the ownership column. If a section does not apply, write "N/A" not applicable. If additional space is needed, please use separate sheets of paper.

Entity Name		
Street Address		
Telephone Number ( )	Fax Number ( )	

Entity / Individual's Name	Title	Ownership / Membership Interest Percentage	Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.)
		%	
		%	
		%	

SECTION 4 – INDIVIDUAL APPLICANT INFORMATION

Indicate your association with the business. (Check all that apply)

☐ Sole Proprietor	☐ Officer	☐ Financial Interest Holder	☐ Trustor
☐ General Partner	☐ Director	☐ Community Property Interest	☐ Trustee
☐ Limited Partner	☐ Landlord	☐ Other: _____	☐ Current Beneficiary
☐ Shareholder	☐ LLC Member		

Last Name	First Name	Middle Initial
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)		
*Residence Address – Number/Street (See page 4 for note)	Apt. / Unit Number	
City	County	State / Zip Code
*Mailing Address, if different than above (See page 4 for note)		
Contact Numbers Home: ( ) Work: ( ) Cell: ( )	E-mail Address (If any)	
Birthdate (mm/dd/yyyy)	Gender ☐ Male ☐ Female	**Social Security Number (See page 4 for note)

SECTION 5– RENEWAL INFORMATION

Complete this section only if you are renewing your license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.

A) Primary Owner:	
1. Has there been any changes affecting ownership or controlling interest in this business since last filing an application for a third-party proposition player services license?	☐ Yes ☐ No
2. Has there been any changes affecting the ownership or controlling interest in any entity that is endorsed upon the license of the primary provider?	☐ Yes ☐ No
3. Has there been any acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?	☐ Yes ☐ No
B) Owner:	
1. Have you been a party to any civil litigation since last filing a third-party proposition player services license application?	☐ Yes ☐ No
2. Have you been named in any administrative action affecting any license certification since last filing a third-party proposition player services license application?	☐ Yes ☐ No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a third-party proposition player services license application?	☐ Yes ☐ No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?	☐ Yes ☐ No
Complete the following *only* if renewing as a Trust: Have there been (a) any amendments to the trust document or (b) any changes to a beneficiary, trustee, or trust asset since last filing a third-party proposition player services license application?	☐ Yes ☐ No

SECTION 6– AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION		
Last Name	First Name	Restrictions If any:
Relationship to Applicant: ☐ Owner ☐ Attorney ☐ Employee ☐ Other:_____		Business Name, if applicable
Mailing Address		
Telephone Number ( )	Fax Number ( )	E-mail Address (if any)

SECTION 7 – DECLARATION / SIGNATURE An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.	
I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.	
Name of Individual Completing this Application (*typed or printed*)	Title
Signature	Date
Signature of Designated Agent	Date

* You must provide your residence address to the Bureau. Unless a separate mailing address is provided, the Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the Bureau's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).

** Disclosure of your U.S. 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 verification of 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.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

Trust Applicants Only Please disregard the instructions on the Trust Supplemental Background Investigation Information BGC-APP-143 which are generally directed at gambling establishment applicants. Follow the instructions below, which are directed at third-party provider applicants.

Any trust that is an owner of a third-party provider must be registered or licensed. Other trust-related persons must also be registered or licensed: the trustor of the trust, any trustee and any current beneficiary. "Trustor" means the same thing as "grantor," "donor," or "settlor:" an individual who creates a trust.

A current beneficiary must be registered or licensed if either of the follows applies:

(1) The beneficiary receives a distribution from a trust that is an owner of a third-party provider.
(2) The beneficiary receives any percentage share of revenue from gambling activities. For example, under the terms of the Washington Family Trust, beneficiary William Washington is to receive 10% of the net gaming revenue from the Washington Third-Party Company every six months.

Trusts: Must submit a Trust Supplemental Background Investigation Information Form, BGC-APP-143 (Rev. 07/17), along with this form (Application for Third-Party Proposition Player Services License (BGC-433)).

Trustors, Trustees, and Current Beneficiaries: Must submit this form (Application for Third-Party Proposition Player Services License (BGC-433)). If the trustee is also the trustor and the beneficiary, only one BGC-433 form needs to be submitted.

Contingent Beneficiary: A contingent or future beneficiary is not required to be registered or licensed unless specifically directed to apply by the Commission. However, a contingent or future beneficiary may elect to submit an application, if, for instance, the beneficiary wishes to avoid future delays in receiving income or a share in ownership in a business when the future event occurs, for instance, the death of the current beneficiary.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR THIRD-PARTY PROPOSITION PLAYER SERVICES LICENSE FOR SUPERVISOR, PLAYER OR OTHER EMPLOYEE

BGC-434 (Rev. 10/17)

Pursuant to Business and Professions Code section 19984, except as provided in California Code of Regulations, Title 4, Section 12201, no person may perform in the capacity of a supervisor, player or "other employee" in the provision of third-party proposition player services without a license issued by the California Gambling Control Commission (Commission).

Send the completed application package with required fee (listed below) to: Bureau of Gambling, P.O. Box 168024, Sacramento, CA 95816-8024. Please make all checks payable to the Bureau of Gambling Control.

Please submit the following with the **renewal application** only:

- ☐ Two 2x2 inch, passport-style color photographs taken within the last 12 months
- ☐ Photocopy of your current State Driver's License or State Identification Card

Applicant's Last Name	First Name		Middle Initial
Name of Provider of Third-Party Proposition Player Services (Business)			License or Registration Number
Job Title	☐ Supervisor	☐ Player	☐ Other Employee
Description of Job Duties			

Please check one box indicating if you are applying for an *initial* or *renewal* license.

☐ **INITIAL**

Application Fee: $750 Non-refundable (Supervisor)
$500 Non-refundable (Player and Other Employee)

Background Deposit: $2,500 (Supervisor)
No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.

The unused portion of any background deposit will be refunded.

NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.

☐ **RENEWAL**

Application Fee: $750 Non-refundable (Supervisor)
$500 Non-refundable (Player and Other Employee)

Background Deposit: $450 (Supervisor)
No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.

The unused portion of any background deposit will be refunded.

SECTION 1 – APPLICANT INFORMATION

Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)

*Residence Address – Number/Street (See page 3 for note) | Apt. / Unit Number

City | County | State | Zip Code

*Mailing Address, if different than above (See page 3 for note)

Contact Numbers
Home: ( ) | Work: ( ) | Ext: | Other: ( ) | ☐ Cell ☐ Fax

Birthdate (mm/dd/yyyy) | Gender ☐ Male ☐ Female | **Social Security Number (See bottom of page for note)

SECTION 2 - RENEWAL INFORMATION

Complete this section only if renewing your third-party proposition player services license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.

1. Have you been a party to any civil litigation since last filing a third-party proposition player services license application?	☐ Yes	☐ No
2. Have you been named in any administrative action affecting any license certification since last filing a third-party proposition player services license application?	☐ Yes	☐ No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a third-party proposition player services license application?	☐ Yes	☐ No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?	☐ Yes	☐ No

SECTION 3 – AUTHORIZED REPRESENTATIVE/DESIGNATED AGENT INFORMATION

Last Name | First Name | Restrictions, if any:

Relationship to Applicant: ☐ Self ☐ Attorney ☐ Other:_____ | Business Name, if applicable

Mailing Address

Telephone Number ( ) | Fax Number ( ) | E-mail Address (If any)

SECTION 4 –DECLARATION/SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

Signature of Applicant in Full | Date

Signature of Designated Agent | Date

* You must provide your residence address to the Bureau. Unless a separate mailing address is provided, the Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the Bureau's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).

** Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 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 verification of 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.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES LICENSE INSTRUCTIONS

Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license.

Retain a photocopy of the complete application packet for your permanent records. A separate application and fee is required for each applicant.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION

BGC–435 (Rev. 10/17)

Please refer to the instructions when completing the application. Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: APPLICATION (Mark one)

New ☐ Renewal ☐ Temporary ☐

SECTION 2: REGISTRATION CATEGORY (Mark one)

Owner ☐ Primary Owner ☐ Player ☐ Supervisor ☐ Other Employee ☐

SECTION 3a: ENTITY TYPE (refer to Section 3a of the instructions for details)

SECTION 3b: RELATIONSHIP TO PRIMARY OWNER (refer to Section 3b of the instructions for details)

SECTION 4: APPLICANT INFORMATION

Applicant's Full Legal Name:

First MI Last

Other Names:

Applicant's Business Telephone Number: ( )

Applicant's Business Facsimile Number (if applicable): ( )

SECTION 5: PRIMARY OWNER INFORMATION (if applicable)

Primary Owner's Name:

Primary Owner's Mailing Address:

Street City State Zip Code

Designated Officer's Name:

Designated Officer's Telephone Number: ( )

Designated Officer's E-mail Address:

SECTION 6: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature:_____ Date:_____

Designated Officer Signature: _____ Date:_____

APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION INSTRUCTIONS

Retain a photocopy of the complete application packet for your permanent records. A separate application and fee is required for each applicant.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. The applicant is responsible for providing the appropriate information needed to determine eligibility for the issuance of a Third Party Proposition Player Services Registration each time an application is submitted. If a question is not applicable, indicate with "N/A." If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

The following is required for an initial registration submission:

- Application for Third Party Proposition Player Services Registration (BGC–435 (Rev. 10/17))
- If applying as an individual, Third Party Proposition Player Services Registration Supplemental Information Form (BGC–436 (Rev. 07/17))
- If applying as an individual, request for Live Scan Service
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations, section 12200
- A non-refundable $500 application fee (payable to the Bureau of Gambling Control)

The following is required for a renewal registration submission:

- Application for Third Party Proposition Player Services Registration (BGC–435 (Rev. 10/17))
- If applying as an individual, Third Party Proposition Player Services Registration Supplemental Information Form (BGC–436 (Rev. 10/17))
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations (CCR), section 12200
- A non-refundable $500 application fee (payable to the Bureau of Gambling Control)

SECTION 1: APPLICATION

Indicate whether applying for a new or renewal registration by checking the appropriate box. If this is an initial (new) application, and you wish to be considered for a temporary registration, please check the temporary box in section 1 and submit an additional $25 fee for the temporary registration. If you elect to apply for a temporary registration in connection with your initial application, then you must include a check covering both the $500 application fee and the $25 temporary registration fee, for a total of $525.

SECTION 2: REGISTRATION CATEGORY

Indicate category of registration applying for by checking the appropriate box.

SECTION 3a: ENTITY TYPE

If applying for registration as primary owner, indicate the entity type of your business from the selection below:

Sole Proprietor Corporation Limited Liability Company (LLC) Partnership

SECTION 3b: RELATIONSHIP TO "PRIMARY OWNER"

If applying for registration as an owner, indicate your relationship with the "Primary Owner" from the selection below. However, if that relationship is based upon an interest in another owner that is a business entity or trust, identify that other owner and indicate the relationship with that other owner.

Shareholder	LLC Member	General Partner	Corporate InterestTrust
Limited Partner	Joint Venture	Trustee	Trust (specify type)
Director	Beneficiary	Financial Interest	Community Property Interest
Officer	Funding Source	Limited Partnership	Other Interest

If "other interest," describe the interest in the blank provided in Section 3b.

SECTION 4: APPLICANT INFORMATION

- If applying as an individual, provide your full legal name and any former names (aliases, etc). If applying as a business entity, provide the legal name of the entity and any alternative names for the same business entity. You must notify the Commission of any name, address or telephone number changes.
- Provide business telephone and facsimile number in appropriate areas.

SECTION 5: PRIMARY OWNER INFORMATION

"Primary Owner" is defined in regulation as a sole proprietor, corporation, partnership, or other business entity that provides or proposes to provide proposition player services as an independent contractor in a gambling establishment.

- If applying as an individual, in the appropriate box provide the name and mailing address of the primary owner by whom you are employed.
- If you are applying as an owner, in the appropriate box provide the name and mailing address of your third party proposition player service business entity.
- If applying as a business entity, in the boxes provided for designated officer information provide the name, telephone number, and e-mail address of the authorized representative who will serve as the entity's contact person to the Bureau of Gambling Control.

SECTION 6: DECLARATION

If applying as an individual, both the applicant and the designated officer of the primary owner must sign the application under penalty of perjury. If applying as a business entity, the chief executive officer or designated officer must sign the application under penalty of perjury. The application must be signed and dated to be considered complete.

PLEASE SEND COMPLETED FORM TO: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION SUPPLEMENTAL INFORMATION

BGC-436 (Rev. 07/17)

Type or print (in ink) all information requested on this supplemental form. If additional space is needed, please note response on a separate sheet of paper and attach to this form.

SECTION 1: APPLICANT PERSONAL HISTORY INFORMATION

Applicant's Full Legal Name: Gender: Male ☐ Female ☐

First MI Last

Applicant's Mailing Address:

Street City State Zip Code

Applicant's Telephone Number: ( )

Applicant's Facsimile Number (if applicable): ( )

Date of Birth:

*Social Security Number:

Please indicate answers to the following questions by placing an X in the appropriate box.

1. **Have you ever been convicted of a felony?** Yes ☐ No ☐
2. **Within the last ten years, have you ever been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities, violations of the Gambling Control Act, or dishonesty or moral turpitude, not including convictions that have been expunged or dismissed as provided by law?** Yes ☐ No ☐
3. **Have you ever had a third party proposition player registration, a state gambling license, a key employee license, a work permit, or a finding of suitability revoked?** Yes ☐ No ☐
4. **Have you ever had an application denied for third party proposition player registration or under the Gambling Control Act?** Yes ☐ No ☐

SECTION 2. DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature:_____ Date: _____

Title:_____

* Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

REQUEST FOR REPLACEMENT THIRD PARTY PROPOSITION PLAYER SERVICES BADGE

BGC-438 (Rev. 10/17)

When requesting a replacement badge a registrant/licensee must complete and submit this form to the Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024 accompanied by a $25.00 check made payable to the Bureau of Gambling Control.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: APPLICANT INFORMATION

Applicant's Full Legal Name:

First MI Last

Mailing Address:

Applicant's Telephone Number: ( )

*Social Security Number: (for identification purposes)

Badge #:

SECTION 2: REGISTRATION/LICENSE

1. Currently registered or licensed with the Commission: (Mark one) ☐ Registered ☐ Licensed

2. Category: (Mark one) ☐ Owner ☐ Player ☐ Supervisor ☐ Other Employee

3. Badge was: (Mark one)

☐ Lost ☐ Stolen ☐ Damaged

☐ Incorrect due to change of name:

Previous name: _____

New Name: _____

Before your name will be changed you must submit one of the following:
- Copy of marriage certificate.
- Copy of court document authorizing legal name change.
- Clear copy of driver's license **AND** social security card.

SECTION 3: PRIMARY OWNER INFORMATION

Primary Owner's Name:

I certify that this registrant/licensee has my authorization to request a replacement badge.

Designated Officer Signature: _____ Date: _____

SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I am the applicant, and that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature: _____ Date: _____

*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

REQUEST FOR AN ADDITIONAL/TRANSFER/REINSTATEMENT THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION/LICENSE

BGC–439 (Rev. 07/17)

When requesting either to transfer, reinstate, or acquire an additional badge for a new primary owner, a registrant/licensee must complete and submit this form to the Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024 accompanied by the following:

- A $125.00 check made payable to the Bureau of Gambling Control.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: APPLICANT INFORMATION

Type (Check One): ☐ Additional ☐ Transfer ☐ Reinstatement

Category (Check One): ☐ Player ☐ Supervisor ☐ Other

Applicant's Full Legal Name:

First MI Last

Mailing Address:

Applicant's Telephone Number: ( )

*Social Security Number: (for identification purposes)

Badge #:

SECTION 2: PRIMARY OWNER INFORMATION

Name of primary owner (employer) you are currently registered/licensed with, transferring or reinstating **from**:

Date of disassociation (applies only to **transfers**):

Name of primary owner (employer) you are transferring **to** or acquiring an additional badge for:

Employment or Re-employment Date:

SECTION 3: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature:_____ Date:_____

Designated Officer Signature: _____ Date:_____

*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

THIRD PARTY PROPOSITION PLAYER SERVICES EMPLOYEE REPORT

BGC–440 (Rev. 10/17)

Submitted pursuant to California Code of Regulations (CCR), Title 4, section 12200.14
(Type or print clearly in ink.)

1. Name of Primary Owner: _____

2. Identify every individual who is, or who has been since the filing of the previous report, employed by the above primary owner as an owner, supervisor, player, or other employee as defined in CCR, Title 4, section 12200. Attach additional sheets as necessary.

Employee Name	Social Security Number	Job Title	Description of job duties, responsibilities and authority.

_____ _____
Signature of Designated Officer Date

_____
Print Name/Title

*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

CHANGE IN STATUS FORM FOR A THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION OR LICENSE

BGC–441 (Rev. 10/17)

When a registrant's or licensee's employment status or affiliation with a primary owner ceases to exist, the registrant/licensee must surrender his or her badge to the primary owner. The primary owner's designated officer must notify the Bureau of Gambling Control of the change in the registrant's or licensee's status within 10 days of the change by completing and submitting this form and enclosing the badge to the Bureau of Gambling Control at P.O. Box 168024, Sacramento, CA 95816-8024.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: PRIMARY OWNER INFORMATION

Name of Primary Owner:

SECTION 2: REGISTRATION/LICENSE INFORMATION

Name of Registrant or Licensee:

First MI Last

Badge Enclosed? ☐ Yes ☐ No If NO, reason why _____

Registrant's /Licensee's Badge #: Date of change in status:

SECTION 3: CHANGE OF EMPLOYMENT OR AFFILIATION STATUS INFORMATION

Reason for disassociation with primary owner: (Mark one)

☐ Terminated ☐ Resigned ☐ Affiliation Ceased ☐ Other _____

SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Designated Officer Signature: _____ Date: _____

Designated Officer Name (Print): _____

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

INSTRUCTIONS TO PRIMARY OWNER

APPLICATION FOR CONTRACT APPROVAL TO PROVIDE PROPOSITION PLAYER SERVICES

The following forms and documentation must be submitted to the Bureau of Gambling Control (Bureau), as applicable, in conjunction with the submission of an application for approval of a contract for proposition player services. Any corrections, changes or other alterations must be initialed and dated by the applicant.

Pursuant to Business and Professions Code section 19868, subd. (a), the supplemental information package will not be deemed complete until all required forms, documentation, and fees have been received by the Bureau.

Forms/Documentation	Submitted (if applicable)
Completed Application for Contract Approval (includes Instructions) (BGC-APP. 030 [Rev. 07/17])	
Completed Appointment of Designated Agent For Owners and Proposition Players (BGC-APP. 031 [Rev. 07/17])	
Executed Copy of the Contract and/or Amendment	
Non-refundable $1,000 Application Fee	
Deposit of $750 for Contract Review and Processing of New Contracts	
Non-refundable $500 Amendment Application Fee	
Deposit of $525 for Contract Review and Processing of Amendments to Contracts	
Processing Fee of $150 for Expedited Review of New Contracts	
Deposit of $750 for Expedited Review of a Contract	
Deposit of $750 for review and processing of Applications for Extension of Services (Renewal).	

The primary owner is responsible for all costs incurred by the Bureau while conducting the review. At the conclusion of the review, the primary owner/designee 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.

Make Checks Payable To: **Bureau of Gambling Control**

For Regular Mail delivery:

Bureau of Gambling Control
Attn: Prop Player Unit
P.O. Box 168024
Sacramento, CA 95816-8024

For Commercial/Personal Delivery:

Bureau of Gambling Control
Attn: Prop Player Unit
2450 Del Paso Road, Suite 100
Sacramento, CA 95834

Application for Contract Approval to Provide Proposition Player Services
BGC-APP. 030 (Rev. 07/17)

California Department of Justice
Bureau of Gambling Control
Attn: Prop Player Unit
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

COMMERCIAL/EXPRESS DELIVERIES
Bureau of Gambling Control
Attn: Prop Player Unit
2450 Del Paso Road, Suite 100
Sacramento, CA 95834

APPLICATION FOR CONTRACT APPROVAL TO PROVIDE PROPOSITION PLAYER SERVICES

Instructions: Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A." If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other alterations must be initialed and dated by the Primary Owner/Designee.

Attach additional sheet(s), if necessary.

1. INDICATE THE TYPE OF CONTRACT APPROVAL REQUEST (check one)

☐ NEW ☐ AMENDMENT ☐ EXTENSION OF SERVICES (RENEWAL) ☐ EXPEDITE

2. BUSINESS ENTITY OR INDIVIDUAL NAME *(Primary Owner)*

3. TELEPHONE NUMBER
( )

4. MAILING ADDRESS *(street, city, state, zip code)*

5. FAX NUMBER
( )

6. E-MAIL ADDRESS

7. WEBSITE ADDRESS

8. FULL NAME OF GAMBLING ESTABLISHMENT NAMED AS A PARTY TO THE CONTRACT

9. ADDRESS OF GAMBLING ESTABLISHMENT *(physical location - street, city, state, zip code)*

10. IDENTIFY THE LEGAL BUSINESS STRUCTURE OF THE PRIMARY OWNER *(check all that apply)*

☐ Sole Proprietorship
☐ Corporation
☐ Publicly Traded Corporation
☐ Limited Partnership
☐ General Partnership
☐ Limited Liability Company
☐ Limited Liability Partnership
☐ Parent
☐ Subsidiary
☐ Other

11. LIST THE NAME AND ADDRESS *(physical location - street, city, state, zip code)* OF ANY OTHER GAMBLING ESTABLISHMENTS TO WHICH THIS PRIMARY OWNER PROVIDES PROPOSITION PLAYERS.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

PRINTED NAME OF PRIMARY OWNER/DESIGNEE	SIGNATURE OF PRIMARY OWNER/DESIGNEE	DATE

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL
(916) 830-1700

APPOINTMENT OF DESIGNATED AGENT FOR OWNERS AND PROPOSITION PLAYERS

An applicant may designate a person(s) to serve as his/her agent(s). The designation shall specify any limit of authority of the agent(s). The Bureau of Gambling Control retains the right to exercise its discretion to disapprove, in whole or in part, such designation(s). The Chief has the authority to require a designated agent to be appointed, if it is determined that such a need exists. (Business and Professions Code sections 19826, and 19827; Title 11, CCR section 2030(a) and (b).)

(Type or Print clearly in ink.)

1. Name of Owner/Proposition Player: _____
2. Type of Entity (e.g., Sole Proprietor, General/Limited Partnership, Corporation, Individual, etc.): _____
3. Name of Primary Owner: _____
4. Primary Owner's Mailing Address: _____
5. Primary Owner's Telephone Number: (_____)_____
6. Name of Designated Agent: _____
7. Relationship to Primary Owner/Applicant: ( ) Owner Licensee ( ) Attorney ( ) Employee
   ( ) Other Specify: _____
8. Designated Agent's Mailing Address: _____
9. Designated Agent's Office Address: _____
   (Physical Location During Normal Business Hours)
10. Telephone Number: (_____) _____
11. Limit of Authority of Designated Agent: _____

_____

The undersigned hereby appoints the above named person as the designated agent for all purposes in dealing with the Bureau except as noted in item 11.

This authorization will remain in effect until such time as the Bureau receives written notification of withdrawal of an appointment and/or a subsequent approved Appointment of Designated Agent form.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Applicant/Licensee Printed Name* _____ Title _____

Applicant/Licensee Signature* _____ Date _____

* An Appointment of Designated Agent form must be signed by <u>each</u> of the following persons:

A) If applicant/licensee is a sole proprietor, by the owner.
B) If applicant/licensee is a general partnership, by all partners.
C) If applicant/licensee is a limited partnership, by the general partner.
D) If applicant/licensee is a corporation, LLC, or joint venture, by the highest ranking officer.

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

LEVEL I SUPPLEMENTAL INFORMATION

INSTRUCTIONS

Each "other employee" and "player" as defined in Title 4, California Code of Regulations, Chapters 2.1 and 2.2, for Third-Party Providers of Proposition Player Services and Gambling Businesses must complete the Level I Supplemental Information and submit all required forms, documentation, and deposits. Originals are required unless otherwise stated. Any corrections or alterations must be initialed and dated by the applicant.

Regular Mail and Commercial/Personal Delivery
Bureau of Gambling Control
2450 Del Paso Road, Suite 100
Sacramento, CA 95834
(916) 830-1700

Pursuant to Business and Professions Code section 19868, subd. (a), the supplemental information package will not be deemed complete until all required forms, documentation, and deposits have been received by the Bureau.

Forms/Documentation	Submitted
Level I Supplemental Information (BGC-APP-032 (Rev. 07/17)) (includes Instructions)	
Authorization to Release Information (BGC-APP-006 (Rev. 07/17))	
Appointment of Designated Agent For Owners and Proposition Players (BGC-APP-031 (Rev. 07/17))	
Employment Contract - Copy	
Current Local License, Permit, Badge, etc. - Copy	
Naturalization Certificate - If naturalized citizen, copy of your naturalization certificate	
If after a review it is determined that further investigation is needed, a deposit of $315 shall be required.	

Applicant is responsible for all investigative costs incurred by the Bureau. At the conclusion of the investigation, an itemized accounting will be provided. Monies received in excess of the actual costs incurred will be refunded.

California Department of Justice
Bureau of Gambling Control
Post Office Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

LEVEL I SUPPLEMENTAL INFORMATION

Instructions: Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (Not Applicable.) If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

Type of Employer: ☐ TPPPPS ☐ Funding Source for TPPPPS
☐ Gambling Business ☐ Funding Source for Gambling Business

Type of License Applying for: ☐ Player ☐ Other Employee

1. California Gambling Control Commission (CGCC) Registration Category:

   ☐ Primary Owner ☐ Owner ☐ Supervisor ☐ Player ☐ Other Employee

   CGCC Badge Number: _____ Date Issued: _____ Expiration Date: _____

   Function/Position in business: _____

2. Name of individual applicant: _____
   LAST FIRST MIDDLE

3. Business name of TPPPPS or Gambling Business: _____

4. Mailing address of TPPPPS or Gambling Business: _____

5. If applicant for a Funding Source, business name of Funding Source: _____

6. Mailing address of Funding Source: _____

Date of photograph: _____

Affix a passport quality photograph taken within the last 30 days here.

Section 1. Personal History Information

(A) PERSONAL INFORMATION:

Last name		First name	Middle name (if no middle name, indicate "NMN")
Alias(es), nicknames, maiden name, other name changes, legal or otherwise			
Present residence address		City, county, state, zip code	
Mailing address (if different from above)		City, county, state, zip code	
Present employer business address		City, county, state, zip code	
Current occupation		Phone: Residence ( ) Business ( ) Fax ( )	
Date of birth		Place of birth (city, county, state, and country)	
Age	Social security number* _____-_____-_____	Gender: ☐ Male ☐ Female	Drivers license/identification card number: State issued:
Eye color	Hair color	Weight	Height
Distinguishing marks (scars, tattoos, etc.). Describe and indicate location.			

* Applicants are required to provide their social security number. This requirement is authorized by Business and Professions Code sections 19841(a)(2), 19864(b)(6), and 19865. This information is used to obtain records relevant to background investigations.

Do you have any family members who work in the gaming industry? ☐ Yes ☐ No

If YES, complete the following. If more space is needed, attach a separate sheet:

Name	Address	Relationship	Position Held	Business Name

Are you a United States citizen? ☐ Yes ☐ No If NO, what country? _____
Alien registration number:_____ If naturalized: Certificate Number: _____
Alien Number:_____

(B) MARITAL INFORMATION:

☐ Single ☐ Married ☐ Separated ☐ Divorced ☐ Widowed

Information regarding current spouse:

Full name: _____
Last First Middle Maiden

Date of birth: ____/____/____ Place of birth: _____
City State Country

Residence address (if different from applicant): _____

Telephone: Residence ( ) _____ Business ( ) _____

Employer: _____ Occupation: _____

Address of employer: _____
Street City State Zip

Date of marriage: _____ / _____ / _____

FORMER MARRIAGE(S):

Name (Last, First, Middle, Maiden)	Dates of Marriage (From-To)	Year, County, and State of Divorce Filing

Attach an additional sheet if necessary.

(C) FAMILY INFORMATION:

(1) Children and/or Dependents
Provide the following information for each of your children (including step, adopted, foster children) and dependents.

Name (Last, First, Middle, Maiden)	Date of Birth	Address	Telephone No.	Relationship
			( )	
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

(2) Co-habitants and/or Roommates
List any adults, not disclosed above, with whom you reside.

Name (Last, First, Middle, Maiden)	Date of Birth	Employer/ Occupation	Employer Address & Telephone	Relationship
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

(3) Parents and/or Stepparents
List name, date of birth, place of birth, residence address, and most recent occupation of parents and/or stepparents. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(4) Brothers and Sisters
List name, date of birth, place of birth, residence address, and most recent occupation of brothers and sisters. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(D) EMPLOYMENT HISTORY: Beginning with your current employment, list your employers and periods of unemployment during the last 10 years.

Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor

Attach an additional sheet if necessary.

(E) RESIDENCES: Please list all your residences (most recent first) for the past 10 years.

Month and Year (From-To)	Street and Number	City	County and State	Rent/Own (Check One)
				Rent Own
				Rent Own
				Rent Own

Attach an additional sheet if necessary.

Section 3. Licensing History Information

(1) Have you ever applied to any local, state or federal governmental agency for a gambling establishment employee permit, badge, or license in any state? ☐ Yes ☐ No

(2) Have you ever been denied a gambling establishment work permit or license by any law enforcement agency, or had any such permit or license revoked or suspended? ☐ Yes ☐ No

If YES, provide the following details.

Local Government Agency	Type of Application	Approved/Denied	Dates Held	Reasons for Denial, Revocation or Suspension

(3) Have you ever been questioned about your participation in any gambling offense, in or outside of California, or by any law enforcement agency? ☐ Yes ☐ No

(4) Have you ever been prohibited from being present on the premises of any gaming or pari-mutuel wagering establishment by any government officer, agency or gambling establishment? ☐ Yes ☐ No

If YES, provide complete details:

Section 4. Criminal History Information

(1) Have you **ever** been convicted of a felony? (Convictions dismissed under Penal Code section 1203.4 must be disclosed, unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

(2) Have you been convicted of a misdemeanor within the last 10 years? (Convictions dismissed under Penal Code section 1203.4 must be disclosed, unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

(3) Are you currently on probation? ☐ Yes ☐ No

(1) Have you ever engaged in any act involving dishonesty or moral turpitude charged or chargeable as a criminal offense? ☐ Yes ☐ No

(5) Have you **ever** been convicted of an offense involving dishonesty or moral turpitude? ☐ Yes ☐ No

(6) Have you **ever** engaged in bookmaking or other illegal gambling activities? ☐ Yes ☐ No

(7) Have you **ever** received a pardon or expungement of any criminal offense? ☐ Yes ☐ No

If YES to "1 - 7," provide the following details, even if a resulting conviction has been expunged or set aside.

Date	Arresting Agency Location - City & State	Original Charge	Final Charge (If amended or reduced)	Court Location- City & State	Case Number	Disposition

Attach an additional sheet if necessary.

(8) Has a criminal indictment, information, or complaint ever been returned against you which you have not included in "1 - 7" above? ☐ Yes ☐ No

If YES, provide complete details:

(9) Have you ever been subpoenaed or ordered to appear or testify before a county, state, or federal grand jury, government board or commission? ☐ Yes ☐ No

If YES, provide complete details and dates:

(10) Have you **ever** been involved in a legal dispute with, or excluded from a gambling establishment, been removed from a gambling establishment by a peace officer or the house, or involved in a patron dispute regarding your activities in a gambling establishment that were subject of a report to a peace officer and resulted in your removal?
☐ Yes ☐ No

If YES, provide complete details and dates:

(11) Have any incidents of cheating been reported against you to a gambling establishment? ☐ Yes ☐ No

If YES, provide complete details and dates:

DECLARATION

I, _____, declare that I have read the foregoing Level I Supplemental Information and understand its contents. My statements are true and correct and contain a full and true account of the information requested. I execute this declaration with the knowledge that any misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial of an application or revocation of a state license, finding or permit. I have familiarized myself with the contents of the California Gambling Control Act (Business and Professions Code section 19800 et seq.), the Regulations of the California Gambling Control Commission (California Code of Regulations, Title 4), and the Regulations of the Bureau of Gambling Control (California Code of Regulations, Title 11) as adopted and agree to abide by them.

I expressly waive, release, and forever discharge the State of California and its agents from any and all manner of action and causes of action whatsoever which I, my administrators or executors, can, shall, or may have against the State of California and its agents, relating to this supplemental information package.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true, correct, and complete.

_____ Date: _____
Signature

_____
Printed Name/Title

_____
Business Name

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

LEVEL II SUPPLEMENTAL INFORMATION

INSTRUCTIONS

Each supervisor as defined in Title 4, California Code of Regulations, Chapters 2.1 and 2.2, for Third-Party Providers of Proposition Player Services and Gambling Businesses must complete the Level II Supplemental Information and submit all required forms, documentation, and deposits. Originals are required unless otherwise stated. Any corrections or alterations must be initialed and dated by the applicant.

Regular Mail and Commercial/Personal Delivery
Bureau of Gambling Control
2450 Del Paso Road, Suite 100
Sacramento, CA 95834
(916) 830-1700

Pursuant to Business and Professions Code section 19868, subd. (a), the supplemental information package will not be deemed complete until all required forms, documentation, and deposits have been received by the Bureau.

Forms/Documentation	Submitted
Level II Supplemental Information (BGC-APP-033 (Rev. 07/17)) (includes Instructions)	
Authorization to Release Information (BGC-APP-006 (Rev. 07/17))	
Appointment of Designated Agent For Owners and Proposition Players (BGC-APP-031 (Rev. 07/17))	
Request for Transcript of Tax Return (IRS 4506-T, (Rev. April 2006))	
Signed copies of Federal tax returns for the past three years, including all schedules and attachments.	
Bank Statements - Copies for any and all personal and business accounts for past 18 months.	
Investment Account Statements - Copies for any and all accounts for the past 18 months.	
Employment Contract - Copy	
Current Local License, Permit, Badge, etc. - Copy	
Naturalization Certificate - If naturalized citizen, copy of your naturalization certificate	
Deposit of $2,500 for Level II Supplemental Information Investigation and Processing	

Applicant is responsible for all investigative costs incurred by the Bureau. At the conclusion of the investigation, an itemized accounting will be provided. Monies received in excess of the actual costs incurred will be refunded.

California Department of Justice
Bureau of Gambling Control
Post Office Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

LEVEL II SUPPLEMENTAL INFORMATION

Instructions: Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (Not Applicable.) If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

Type of Employer: ☐ TPPPPS ☐ Funding Source for TPPPPS
☐ Gambling Business ☐ Funding Source for Gambling Business

1. **California Gambling Control Commission (CGCC) Registration Category:**

   ☐ Primary Owner ☐ Owner ☐ Supervisor ☐ Player ☐ Other Employee

   CGCC Badge Number: _____ Date Issued: _____ Expiration Date: _____

   Function/Position in business: _____

2. **Name of individual applicant:** _____
   LAST FIRST MIDDLE

3. **Business name of TPPPPS or Gambling Business:** _____

4. **Mailing address of TPPPPS or Gambling Business:** _____

5. **If applicant for a Funding Source, business name of Funding Source** _____

6. **Mailing address of Funding Source:** _____

Date of photograph: _____

Affix a passport quality photograph taken within the last 30 days here.

Section 1. Personal History Information

(A) PERSONAL INFORMATION:

Last name		First name	Middle name (if no middle name, indicate "NMN")
Alias(es), nicknames, maiden name, other name changes, legal or otherwise			
Present residence address		City, county, state, zip code	
Mailing address (if different from above)		City, county, state, zip code	
Present employer business address		City, county, state, zip code	
Current occupation		Phone: Residence ( ) Business ( ) Fax ( )	
Date of birth		Place of birth (city, county, state, and country)	
Age	Social security number* _____-_____-_____	Gender: ☐ Male ☐ Female	Drivers license/identification card number: State issued:
Eye color	Hair color	Weight	Height
Distinguishing marks (scars, tattoos, etc.). Describe and indicate location.			

* Applicants are required to provide their social security number. This requirement is authorized by Business and Professions Code sections 19841(a)(2), 19864(b)(6), and 19865. This information is used to obtain records relevant to background investigations.

Do you have any family members who work in the gaming industry? ☐ Yes ☐ No

If Yes, complete the following. If more space is needed, attach a separate sheet:

Name	Address	Relationship	Position Held	Business Name

Are you a United States citizen? ☐ Yes ☐ No If NO, what country _____

Alien registration number: _____ If naturalized: Certificate Number: _____
Alien Number: _____

(B) MARITAL INFORMATION:

☐ Single ☐ Married ☐ Separated ☐ Divorced ☐ Widowed

Information regarding current spouse:

Full name: _____
Last First Middle Maiden

Date of birth: _____/_____/_____ Place of birth: _____
City State Country

Residence address (if different from applicant): _____

Telephone: Residence ( ) _____ Business ( ) _____

Employer: _____ Occupation: _____

Address of employer: _____
Street City State Zip

Date of marriage_____/_____/_____

FORMER MARRIAGE(S):

Name (Last, First, Middle, Maiden)	Dates of Marriage (From-To)	Year, County, and State of Divorce Filing

Attach an additional sheet if necessary.

(C) FAMILY INFORMATION:

Children and/or Dependents

Provide the following information for each of your children (including step, adopted, foster children) and dependents.

Name (Last, First, Middle, Maiden)	Date of Birth	Address	Telephone No.	Relationship
			( )	
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

Co-habitants and/or Roommates

List any adults, not disclosed above, with whom you reside.

Name (Last, First, Middle, Maiden)	Date of Birth	Employer/ Occupation	Employer Address & Telephone	Relationship
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

Parents and/or Stepparents

List name, date of birth, place of birth, residence address, and most recent occupation of parents and/or stepparents. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

Brothers and Sisters

List name, date of birth, place of birth, residence address, and most recent occupation of brothers and sisters. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(D) **EDUCATIONAL BACKGROUND: List below your formal education, and include any schools or training programs attended.**

	Name of School	Location (City/State)	Dates of Attendance	Graduate
High School				☐ Yes ☐ No
College/University				☐ Yes ☐ No
Other				☐ Yes ☐ No
Other				☐ Yes ☐ No

Attach an additional sheet if necessary.

(E) **MILITARY INFORMATION:**

Have you ever served in the United Sates armed forces? ☐ Yes ☐ No (If Yes, attach a copy of your DD214)

Branch of service: _____ Dates of service: From _____ To _____

Rank/Rating at Separation: _____ Serial Number: _____

Type of discharge: _____

If less than honorable discharge, please explain. Attach additional sheets as necessary.

While in the service, were you ever convicted of any offense or formally disciplined? ☐ Yes ☐ No

(F) **EMPLOYMENT HISTORY: Beginning with your current employment, list your employers and periods of unemployment during the last 10 years.**

Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving

Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor

Attach an additional sheet if necessary.

(G) RESIDENCES: **Please list all your residences (most recent first) for the past 10 years.**

Month and Year (From-To)	Street and Number	City	County and State	Rent/Own (Check One)
				Rent Own
				Rent Own
				Rent Own
				Rent Own
				Rent Own

Attach an additional sheet if necessary.

(H) REFERENCES: **List the name, address, and telephone number of three personal references who are not related to you. Do not include relatives, present employer, or your employees.**

Name and Occupation	Address (Street, City, State, Zip)	Telephone	Years Known
Name	Home	Home ( )	
Occupation	Mailing Address	Work ( )	
Name	Home	Home ( )	
Occupation	Mailing Address	Work ( )	

Name and Occupation	Address (Street, City, State, Zip)	Telephone	Years Known
Name	Home	Home ( )	
Occupation	Mailing Address	Work ( )	

Attach an additional sheet if necessary.

(I) **NON-GAMING RELATED BUSINESS INTERESTS: List all business ventures, limited liability companies, corporations, partnerships, and sole proprietorships with which you are or have been associated with in the past 10 years as an owner, officer, director, shareholder, partner, member, or other related capacity.**

Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned

Attach an additional sheet if necessary.

(J) **GAMING RELATED BUSINESS INTERESTS: List all business ventures, limited liability companies, corporations, and partnerships with which you are or have been associated with in the past ten years as an owner, officer, director, shareholder, partner, member, or other related capacity.**

Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership

Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned

Attach an additional sheet if necessary.

Section 2. Other Licensing Information

(A) Have you ever ***applied*** to any licensing or regulatory agency for a license, permit, badge, certificate, registration, finding of suitability, or authorization in any state ***related to gaming***, whether or not such license, permit, badge, certificate, registration, finding of suitability, or authorization was granted? ☐ Yes ☐ No

If Yes, provide the following details:

Licensing/Regulatory Agency	Name & Address of Gaming Business	Type of Application	Registration/Permit/ Badge/License/ Certificate Number	Dates Held

Attach an additional sheet if necessary.

(B) Have you ever applied for a privileged or professional license, permit, certificate or authorization in any state, whether or not such license, permit, badge, certificate, finding of suitability, or authorization was granted, including, but not limited to, the following: Accountant, CPA, real-estate broker, liquor, medical, securities dealer, lawyer, contractor, etc.? ☐ Yes ☐ No

If Yes, provide the following details:

Type of Registration/Permit/ Badge/License/ Certificate	Registration/Permit / Badge/License/ Certificate Number	Name & Address of Licensing/Regulatory Agency	Action Taken	Dates Held

Attach an additional sheet if necessary.

(C) Have you ever had any disciplinary, administrative, or regulatory actions taken against the aforementioned application(s) for a license, permit, badge, certificate, registration, finding of suitability, or authorization (e.g., withdrawal, denial, suspension, revocation, or surrender)? ☐ Yes ☐ No

If Yes, provide the following details:

Type of Registration/Permit / Badge/License/ Certificate	Registration/ Permit/ Badge/License/ Certificate Number	Name & Address of Licensing/Regulatory Agency	Action Taken	Reason for Action

Attach an additional sheet if necessary.

(D) Have you ever appeared before any licensing agency or similar authority either inside or outside the state of California for any reason whatsoever? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

Section 3. Criminal/Litigation History Information

(A) Have you ever been convicted of a felony? (Convictions dismissed under Penal Code section 1203.4 must be disclosed, unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

(B) Have you been convicted of a misdemeanor within the last 10 years? (Convictions dismissed under Penal Code section 1203.4 must be disclosed, unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

(C) Are you currently on probation? ☐ Yes ☐ No

(D) Have you ever engaged in any act involving dishonesty or moral turpitude charged or chargeable as a criminal offense? ☐ Yes ☐ No

(E) Have you ever been convicted of an offense involving dishonesty or moral turpitude? ☐ Yes ☐ No

(F) Have you ever engaged in bookmaking or other illegal gambling activities? ☐ Yes ☐ No

(G) Have you ever received a pardon or expungement of any criminal offense? ☐ Yes ☐ No

If Yes to "A - G," provide the following details, even if a resulting conviction has been expunged or set aside.

Date	Arresting Agency Location - City & State	Original Charge	Final Charge (If amended or reduced)	Court Location-City, County & State	Case Number	Disposition

Attach an additional sheet if necessary.

(2) Co-habitants and/or Roommates
List any adults, not disclosed above, with whom you reside.

Name (Last, First, Middle, Maiden)	Date of Birth	Employer/ Occupation	Employer Address & Telephone	Relationship
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

(3) Parents and/or Stepparents
List name, date of birth, place of birth, residence address, and most recent occupation of parents and/or stepparents. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(4) Brothers and Sisters
List name, date of birth, place of birth, residence address, and most recent occupation of brothers and sisters. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(H) Has a criminal indictment, information, or complaint ever been returned against you which you have not included in "A - G" above? ☐ Yes ☐ No

If Yes, provide complete details: _____

(I) Have you ever been subpoenaed or ordered to appear or testify before a county, state, or federal grand jury, government board or commission? ☐ Yes ☐ No

If Yes, provide complete details: _____

(J) Have you **ever** been involved in a legal dispute with, or excluded from a gambling establishment, been removed from a gambling establishment by a peace officer or the house, or involved in a patron dispute regarding your activities in a gambling establishment that were subject of a report to a peace officer and resulted in your removal? ☐ Yes ☐ No

(K) Have any incidents of cheating been reported against you to a gambling establishment? ☐ Yes ☐ No

(L) Have you, as an individual, member of a partnership, or shareholder, director, or officer of a corporation, been party to a lawsuit or arbitration within the last ten years? ☐ Yes ☐ No

If Yes, provide the following details:

Name(s) of Plaintiff(s) & Defendant(s) Name(s) of Claimant(s) & Respondent(s)	Date Filed	Court & Case Number	City, County & State	Disposition/Date
Brief explanation of issues:				
Brief explanation of issues:				

Name(s) of Plaintiff(s) & Defendant(s) Name(s) of Claimant(s) & Respondent(s)	Date Filed	Court & Case Number	City, County & State	Disposition/Date
Brief explanation of issues:				
Brief explanation of issues:				
Brief explanation of issues:				
Brief explanation of issues:				

Attach an additional sheet if necessary.

(M) Have you ever been charged with a violation of any campaign law(s)? ☐ Yes ☐ No

If Yes, provide the following details:

Date	Charging Agency	City & State	Charge	Disposition/Date
Brief explanation of charges:				
Brief explanation of charges:				
Brief explanation of charges:				

Attach an additional sheet if necessary.

Section 4. Financial History Information

(A) Have you, or any company in which you were a member, officer, or shareholder filed bankruptcy within the last 10 years? ☐ Yes ☐ No

If Yes, identify the court where the bankruptcy was filed, case number, date filed, and describe the circumstances which resulted in this action. Provide copies of your bankruptcy petition listing all creditors and the order discharging debts.

(B) Have any individuals, businesses, or governmental agencies filed liens against you as an individual, sole proprietor, member of a partnership, or owner of a corporation within the last 10 years? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(C) Have you had any purchase repossessed or debt turned over to collection for any reason within the last ten years? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(D) Do you own or control any assets or liabilities located outside the United States? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(E) Do you control or manage any assets or liabilities for another person, business, or trust? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(F) Do you hold in trust any assets for another person or business? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(G) Have you ever had your State or Federal personal income tax return audited or adjusted? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

_____

_____

(H) Last Federal income tax return was filed on _____ for tax year
MONTH/YEAR

at _____.
CITY STATE

(I) Last State income tax return was filed on _____ for tax year
MONTH/YEAR

at _____.
CITY STATE

(J) Do you have a safe deposit box or other such depository, access to any depository, or do you use any other person's depository?
☐ Yes ☐ No

If Yes, provide the following details:

Name of Box Owner	Box Number or Type of Depository	Location	City & State

(K) GROSS ANNUAL INCOME (FOR HOUSEHOLD):

Type of Income	Applicant	Other
Income/Wages/Salary		
Interest Income		
Dividend Income		
Rental Income		
Child Support		
Gifts		
Spousal Support/Alimony		
Other (Specify)		
TOTALS	$	$

(L) STATEMENT OF ASSETS (FOR HOUSEHOLD):

List the total value of all assets held, both tangible and intangible, on the appropriate line below. Enter the amounts as of the date of this application. If applicable, your investment in any gambling or related business should be reflected on Schedule D.

Assets	Original Cost/Investment	Current Market Value
Cash (Total From Schedule "A")		
Accounts & Notes Receivable (Total From Schedule "B")		
Stocks and Bonds (Total From Schedule "C")		
Business Investments (Total From Schedule "D")		
Real Estate (Total From Schedule "E")		
Other Assets (Total From Schedule "F")		
TOTAL ASSETS	$	$

(M) STATEMENT OF LIABILITIES (FOR HOUSEHOLD):

List all liabilities owed on the appropriate line below. Enter the amount as of the date of this application.

Liabilities	Monthly Payment	Current Balance
Accounts Payable (Total From Schedule "G")		
Taxes Payable (Total From Schedule "H")		
Notes Payable (Total From Schedule "I")		
Mortgages Payable (Total From Schedule "J")		
Contingent and Other Liabilities (Total From Schedule "K")		
TOTAL LIABILITIES	$	$

NOTE: ADDITIONAL FINANCIAL INFORMATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

STATEMENT OF ASSETS

SCHEDULE "A"
Cash

List all cash and where it is located, e.g. bank accounts (foreign and domestic), safe deposit boxes, office safes, etc.

Location of Cash (e.g., Name & Address of Bank)	Account No.	Names of Persons Who Have Signature Authority on Account	Date Opened	Type of Account	Date of Balance	Balance
					TOTAL $	

STATEMENT OF ASSETS

SCHEDULE "B"
Accounts and Notes Receivable

List all loans, accounts and notes receivable.

Name & Address of Debtor	Date Acquired	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Amount	Date of Unpaid Balance	Unpaid Balance

STATEMENT OF ASSETS

SCHEDULE "C"
Stocks and Bonds

List all stocks, bonds or mutual funds held or controlled, including beneficial interest in a trust. The individual stocks held in a mutual fund need not be itemized.

Issuer	Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	No. of Shares or Units	Registered Owners	Date of Current Market Value	Current Market Value
					TOTAL $	

BGC-APP-033 (Rev. 07/17)

STATEMENT OF ASSETS

SCHEDULE "D"
Business Investments

List any business investments in which any direct, indirect, vested, or contingent interest is held, along with the names of all individuals or entities who share a direct, indirect, vested, or contingent interest. This should include, but not be limited to, joint ventures, partnerships, limited liability company and corporations.

Entity Name	Type of Equity	No. of Shares or Units	Percentage of Ownership	Individuals or Entities Sharing Interest & Percentage Ownership	Name in Which Held	Date of Purchase	Purchase Price	Date of Current Market Value	Current Market Value
								TOTAL $	

STATEMENT OF ASSETS

SCHEDULE "E"
Real Estate

List any real property held with any direct, indirect, vested, or contingent interest.

Address/Location/Parcel Number	Type (Residential/Commercial)	Percentage of Ownership	Date of Purchase	Income (Rent/Lease)	Purchase Price	Date of Current Market Value	Current Market Value
						TOTAL $	

BGC-APP-033 (Rev. 07/17)

STATEMENT OF ASSETS

SCHEDULE "F"
Other Assets

List all other assets (e.g., automobiles, jewelry, artwork, etc.)

Type of Asset	Other Information (e.g., Year/Make/Model)	Date of Purchase	Purchase Price	Date of Current Market Value	Current Market Value
				TOTAL $	

STATEMENT OF LIABILITIES

SCHEDULE "G"
Accounts Payable

List all accounts payable (e.g., revolving accounts, credit cards, leases, lines of credit, etc.).

Name & Address of Creditor	Account Number	Credit Limit	Monthly Payment	Interest Rate (%)	Date of Unpaid Balance	Unpaid Balance
					TOTAL $	

STATEMENT OF LIABILITIES

SCHEDULE "H"
Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., State Tax Board/Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Original Amount	Fines, Penalties & Interest	Date of Unpaid Balance	Unpaid Balance
					TOTAL $	

STATEMENT OF LIABILITIES

SCHEDULE "I"
Notes Payable

List all notes payable.

Name & Address of Creditor	Account Number	Collateral	Date Incurred	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Note Amount	Date of Unpaid Balance	Unpaid Balance

STATEMENT OF LIABILITIES

SCHEDULE "J"
Mortgages Payable

List all mortgages or liens on real estate.

Name & Address of Creditor Account Number	Address & Parcel Number of Real Estate	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Loan Amount	Date of Unpaid Balance	Unpaid Balance
							TOTAL $	

STATEMENT OF LIABILITIES

SCHEDULE "K"
Contingent and Other Liabilities

List any other indebtedness or contingent liability e.g., co-signer on a loan, pending litigation, etc.

Name & Address of Creditor	Description of Liability & Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Amount	Date of Unpaid Balance	Unpaid Balance
							TOTAL $	

DECLARATION

I, _____, declare that I have read the foregoing Level II Supplemental Information and understand its contents. My statements are true and correct and contain a full and true account of the information requested. I execute this declaration with the knowledge that any misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial of an application or revocation of a state license, finding or permit. I have familiarized myself with the contents of the California Gambling Control Act (Business and Professions Code section 19800 et seq.), the Regulations of the California Gambling Control Commission (California Code of Regulations, Title 4), and the Regulations of the Bureau of Gambling Control (California Code of Regulations, Title 11) as adopted and agree to abide by them.

I expressly waive, release, and forever discharge the State of California and its agents from any and all manner of action and causes of action whatsoever which I, my administrators or executors, can, shall, or may have against the State of California and its agents, relating to this supplemental information package.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true, correct, and complete.

_____ Date:_____
Signature

_____
Printed Name/Title

_____
Business Name

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

LEVEL III SUPPLEMENTAL INFORMATION - INDIVIDUAL

INSTRUCTIONS

Each owner as defined in Title 4, California Code of Regulations, Chapters 2.1 and 2.2, who is a natural person must complete the Level III Supplemental Information - Individual and submit all required forms, documentation, and deposits. This includes, but is not limited to, officers, directors, partners, shareholders, members, and sole proprietors. Originals are required unless otherwise stated. Any corrections or alterations must be initialed and dated by the applicant.

Regular Mail and Commercial/Personal Delivery
Bureau of Gambling Control
2450 Del Paso Road, Suite 100
Sacramento, CA 95834
(916) 830-1700

Pursuant to Business and Professions Code section 19868, subd. (a), the supplemental information package will not be deemed complete until all required forms, documentation, and deposits have been received by the Bureau.

Forms/Documentation	Submitted
Level III Supplemental Information - Individual (BGC-APP-034A (Rev. 07/17)) (includes Instructions)	
Authorization to Release Information (BGC-APP-006 (Rev. 07/17))	
Appointment of Designated Agent For Owners and Proposition Players (BGC-APP-031 (Rev. 07/17))	
Request for Transcript of Tax Return (IRS 4506-T (Rev. April 2006))	
Signed copies of Federal tax returns for the past three years, including all schedules and attachments.	
Bank Statements - Copies for any and all personal and business accounts for past 18 months.	
Investment Account Statements - Copies for any and all accounts for the past 18 months.	
Trust Agreement pertaining to interest in Third-Party Provider of Proposition Player Services - Copy	
All Lease Agreements pertaining to gaming – Copy	
Employment Contract – Copy	
Current Local License, Permit, Badge, etc. – Copy	
Naturalization Certificate - If naturalized citizen, copy of your naturalization certificate	
Deposit of $6,000 for Level III Supplemental Information – Individual Investigation and Processing	

Applicant is responsible for all investigative costs incurred by the Bureau. At the conclusion of the investigation, an itemized accounting will be provided. Monies received in excess of the actual costs incurred will be refunded.

California Department of Justice
Bureau of Gambling Control
Post Office Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

LEVEL III SUPPLEMENTAL INFORMATION–INDIVIDUAL

Instructions: Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (Not Applicable.) If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

Type of Employer/Applicant: ☐ TPPPPS ☐ Funding Source for TPPPPS
☐ Gambling Business ☐ Funding Source for Gambling Business

Type of License Applying for: ☐ Primary Owner ☐ Owner

1. California Gambling Control Commission (CGCC) Registration Category:

   ☐ Primary Owner ☐ Owner ☐ Supervisor ☐ Player ☐ Other Employee

   CGCC Badge Number: _____ Date Issued: _____ Expiration Date: _____

   Function/Position in business: _____

2. Name of individual applicant: _____
   LAST FIRST MIDDLE

3. Business name of TPPPPS or Gambling Business: _____

4. Mailing address of TPPPPS or Gambling Business: _____

5. If applicant for a Funding Source, business name of Funding Source: _____

6. Mailing address of Funding Source: _____

Date of photograph: _____

Affix a passport quality photograph taken within the last 30 days here.

Section 1. Personal History Information

(A) PERSONAL INFORMATION:

Last name		First name	Middle name (if no middle name, indicate "NMN")
Alias(es), nicknames, maiden name, other name changes, legal or otherwise			
Present residence address		City, county, state, zip code	
Mailing address (if different from above)		City, county, state, zip code	
Present employer business address		City, county, state, zip code	
Current occupation		Phone: Residence ( ) _____ Business ( ) _____ Fax ( )	
Date of birth		Place of birth (city, county, state, and country)	
Age	Social security number* _____-_____-_____	Gender: ☐ Male ☐ Female	Drivers license/identification card number: _____ State issued:
Eye color	Hair color	Weight	Height
Distinguishing marks (scars, tattoos, etc.). Describe and indicate location.			

* Applicants are required to provide their social security number. This requirement is authorized by Business and Professions Code sections 19841(a)(2), 19864(b)(6), and 19865. This information is used to obtain records relevant to background investigations.

Do you have any family members who work in the gaming industry? ☐ Yes ☐ No

If YES, complete the following. If more space is needed, attach a separate sheet:

Name	Address	Relationship	Position Held	Business Name

Are you a United States citizen? ☐ Yes ☐ No If NO, what country? _____

Alien registration number: _____ If naturalized: Certificate Number: _____
Alien Number: _____

(B) MARITAL INFORMATION:

☐ Single ☐ Married ☐ Separated ☐ Divorced ☐ Widowed

Information regarding current spouse:

Full name: _____
Last First Middle Maiden

Date of birth: _____/_____/_____ Place of birth: _____
City State Country

Residence address (if different from applicant): _____

Telephone: Residence ( ) _____ Business ( ) _____

Employer: _____ Occupation: _____

Address of employer: _____
Street City State Zip

Date of marriage: _____/_____/_____

FORMER MARRIAGE(S):

Name (Last, First, Middle, Maiden)	Dates of Marriage (From-To)	Year, County, and State of Divorce Filing

Attach an additional sheet if necessary.

(C) FAMILY INFORMATION:

(1) Children and/or Dependents
Provide the following information for each of your children (including step, adopted, foster children) and dependents.

Name (Last, First, Middle, Maiden)	Date of Birth	Address	Telephone No.	Relationship
			( )	
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

(2) Co-habitants and/or Roommates
List any adults, not disclosed above, with whom you reside.

Name (Last, First, Middle, Maiden)	Date of Birth	Employer/ Occupation	Employer Address & Telephone	Relationship
			( )	
			( )	
			( )	
			( )	

Attach an additional sheet if necessary.

(3) Parents and/or Stepparents
List name, date of birth, place of birth, residence address, and most recent occupation of parents and/or stepparents. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(4) Brothers and Sisters
List name, date of birth, place of birth, residence address, and most recent occupation of brothers and sisters. If retired or deceased, list last address and occupation.

Name (Last, First, Middle, Maiden)	Date of Birth	Place of Birth	Address	Telephone No.	Occupation
				( )	
				( )	
				( )	
				( )	
				( )	

Attach an additional sheet if necessary.

(D) EDUCATIONAL BACKGROUND: List below your formal education, and include any schools or training programs attended.

	Name of School	Location (City/State)	Dates of Attendance	Graduate
High School				☐ Yes ☐ No
College/University				☐ Yes ☐ No
Other				☐ Yes ☐ No
Other				☐ Yes ☐ No

Attach an additional sheet if necessary.

(E) MILITARY INFORMATION:

Have you ever served in the United States armed forces? ☐ Yes ☐ No (If YES, attach a copy of your DD214)

Branch of service: _____ Dates of service: From _____ To _____

Rank/Rating at Separation: _____ Serial Number: _____

Type of discharge: _____

If less than honorable discharge, please explain. Attach additional sheets as necessary. _____

_____

While in the service, were you ever convicted of any offense or formally disciplined? ☐ Yes ☐ No

(F) EMPLOYMENT HISTORY: Beginning with your current employment, list your employers and periods of unemployment during the last 10 years.

Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving

Level III Supplemental Information - Individual
BGC-APP-034A (Rev. 07/17)

Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor
Month and Year (From-To)	Name/Mailing Address/Employer Telephone Number	Reason for Leaving
Title	Description of Duties	Name of Supervisor

Attach an additional sheet if necessary.

(G)RESIDENCES: Please list all your residences (most recent first) for the past 10 years.

Month and Year (From-To)	Street and Number	City	County and State	Rent/Own (Check One)
				Rent _____ Own _____
				Rent _____ Own _____
				Rent _____ Own _____
				Rent _____ Own _____
				Rent _____ Own _____

Attach an additional sheet if necessary.

(H) REFERENCES: List the name, address, and telephone number of three personal references who are not related to you. Include at least one reference you were acquainted with during each period of residence listed in Question (G) above. Do not include relatives, present employer, or your employees.

Name and Occupation	Address (Street, City, State, Zip)	Telephone	Years Known
Name	Home	Home ( )	
Occupation	Mailing Address	Work ( )	
Name	Home	Home ( )	
Occupation	Mailing Address	Work ( )	

Attach an additional sheet if necessary.

(I) **NON-GAMING RELATED BUSINESS INTERESTS:** List all business ventures, limited liability companies, corporations, partnerships, and sole proprietorships with which you are or have been associated with in the past 10 years as an owner, officer, director, shareholder, partner, member, or other related capacity.

Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned

Attach an additional sheet if necessary.

(J) GAMING RELATED BUSINESS INTERESTS: List all business ventures, limited liability companies, corporations, and partnerships with which you are or have been associated with in the past ten years as an owner, officer, director, shareholder, partner, member, or other related capacity.

Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned
Dates of Involvement (From-To)	Name/Mailing Address/Business Telephone Number	Name of Corporation/Partnership	
Capacity/Title	Primary Purpose/Type of Venture	Amount of Investment	% Financial Interest/ # Shares/ Units Owned

Attach an additional sheet if necessary.

Section 2. Other Licensing Information

(A) Have you ever ***applied*** to any licensing or regulatory agency for a license, permit, badge, certificate, registration, finding of suitability, or authorization in any state ***related to gaming***, whether or not such license, permit, badge, certificate, registration, finding of suitability, or authorization was granted? ☐ Yes ☐ No

If YES, provide the following details:

Licensing/Regulatory Agency	Name & Address of Gaming Business	Type of Application	Registration/Permit/ Badge/License/ Certificate Number	Dates Held

Attach an additional sheet if necessary.

(B) Have you ever ***applied*** for a privileged or professional license, permit, certificate or authorization in any state, whether or not such license, permit, badge, certificate, finding of suitability, or authorization was granted, including, but not limited to, for example: Accountant, CPA, real-estate broker, liquor, medical, securities dealer, lawyer, contractor, etc.? ☐ Yes ☐ No

If YES, provide the following details:

Type of Registration/Permit/ Badge/License/ Certificate	Registration/Permit/ Badge/License/ Certificate Number	Name & Address of Licensing/Regulatory Agency	Action Taken	Dates Held

Attach an additional sheet if necessary.

(C) Have you ever had any disciplinary, administrative, or regulatory actions taken against the aforementioned application(s) for a license, permit, badge, certificate, registration, finding of suitability, or authorization (e.g., withdrawal, denial, suspension, revocation, or surrender)? ☐ Yes ☐ No

If YES, provide the following details:

Type of Registration/Permit/ Badge/License/ Certificate	Registration/ Permit/ Badge/License/ Certificate Number	Name & Address of Licensing/Regulatory Agency	Action Taken	Reason for Action

Attach an additional sheet if necessary.

(D) Have you ever appeared before any licensing agency or similar authority either inside or outside the state of California for any reason whatsoever? ☐ Yes ☐ No

If YES, provide complete details and dates: _____

_____

_____

Section 3. Criminal/Litigation History Information

(A) Have you ever been convicted of a felony? (Convictions dismissed under Penal Code section 1203.4 must be disclosed, unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

(B) Have you been convicted of a misdemeanor within the last 10 years? (Convictions dismissed under Penal Code section 1203.4 must be disclosed, unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

(C) Are you currently on probation? ☐ Yes ☐ No

(D) Have you ever engaged in any act involving dishonesty or moral turpitude charged or chargeable as a criminal offense? ☐ Yes ☐ No

(E) Have you **ever** been convicted of an offense involving dishonesty or moral turpitude? ☐ Yes ☐ No

(F) Have you **ever** engaged in bookmaking or other illegal gambling activities? ☐ Yes ☐ No

(G) Have you ever received a pardon or expungement of any criminal offense? ☐ Yes ☐ No

If YES to "A - G," provide the following details, even if a resulting conviction has been expunged or set aside.

Date	Arresting Agency Location - City & State	Original Charge	Final Charge (If amended or reduced)	Court Location-City & State	Case Number	Disposition

Attach an additional sheet if necessary.

(H) Has a criminal indictment, information, or complaint ever been returned against you which you have not included in "A - G" above? ☐ Yes ☐ No

If YES, provide complete details: _____

(I) Have you ever been subpoenaed or ordered to appear or testify before a county, state, or federal grand jury, government board or commission? ☐ Yes ☐ No

If YES, provide complete details: _____

(J) Have you ever been involved in a legal dispute with, or excluded from a gambling establishment, been removed from a gambling establishment by a peace officer or the house, or involved in a patron dispute regarding your activities in a gambling establishment that were subject of a report to a peace officer and resulted in your removal? ☐ Yes ☐ No If YES, provide details on attached sheet.

(K) Have any incidents of cheating been reported against you to a gambling establishment? ☐ Yes ☐ No

If YES, provide details on attached sheet.

(L) Have you, as an individual, member of a partnership, or shareholder, director, or officer of a corporation, been party to a lawsuit or arbitration within the last ten years? ☐ Yes ☐ No

If YES, provide the following details:

Name(s) of Plaintiff(s) & Defendant(s) Name(s) of Claimant(s) & Respondent(s)	Date Filed	Court & Case Number	City, County & State	Disposition/Date
Brief explanation of issues:				
Brief explanation of issues:				
Brief explanation of issues:				

Name(s) of Plaintiff(s) & Defendant(s) Name(s) of Claimant(s) & Respondent(s)	Date Filed	Court & Case Number	City, County & State	Disposition/Date
Brief explanation of issues:				
Brief explanation of issues:				
Brief explanation of issues:				

Attach an additional sheet if necessary.

(M) Have you ever been charged with a violation of any campaign law(s)? ☐ Yes ☐ No

If YES, provide the following details:

Date	Charging Agency	City & State	Charge	Disposition/Date
Brief explanation of charges:				
Brief explanation of charges:				
Brief explanation of charges:				

Attach an additional sheet if necessary.

Section 4. Financial History Information

(A) Have you, or any company in which you were a member, officer, or shareholder filed bankruptcy within the last 10 years? ☐ Yes ☐ No

If YES, identify the court where the bankruptcy was filed, case number, date filed, and describe the circumstances which resulted in this action. Provide copies of your bankruptcy petition listing all creditors and the order discharging debts. _____

_____

_____

(B) **Have any individuals, businesses, or governmental agencies filed liens against you as an individual, sole proprietor, member of a partnership, or owner of a corporation within the last 10 years? ☐ Yes ☐ No**

If YES, provide complete details and dates: _____

_____

_____

(C) Have you had any purchase repossessed or debt turned over to collection for any reason within the last ten years? ☐ Yes ☐ No

If YES, provide complete details and dates:

_____

_____

(D) Do you own or control any assets or liabilities located outside the United States? ☐ Yes ☐ No

If YES, provide complete details: _____

_____

_____

(E) Do you control or manage any assets or liabilities for another person, business, or trust? ☐ Yes ☐ No

If YES, provide complete details: _____

_____

_____

(F) Do you hold in trust any assets for another person or business? ☐ Yes ☐ No

If YES, provide details and dates: _____

_____

_____

(G) Have you ever had your State or Federal personal income tax return audited or adjusted? ☐ Yes ☐ No

If YES, provide details and dates: _____

_____

_____

(H) Last Federal income tax return was filed on _____ for tax year _____
MONTH/YEAR

at _____.
CITY STATE

(I) Last State income tax return was filed on _____ for tax year _____
MONTH/YEAR

at _____.
CITY STATE

(J) Do you have a safe deposit box or other such depository, access to any depository, or do you use any other person's depository?
☐ Yes ☐ No

If YES, provide the following details:

Name of Box Owner	Box Number or Type of Depository	Location	City & State

(K) **GROSS ANNUAL INCOME (FOR HOUSEHOLD):**

Type of Income	Applicant	Other
Income/Wages/Salary		
Interest Income		
Dividend Income		
Rental Income		
Child Support		
Gifts		
Spousal Support/Alimony		
Other (Specify)		
TOTALS	$	$

(L) STATEMENT OF ASSETS (FOR HOUSEHOLD):
List the total value of all assets held, both tangible and intangible, on the appropriate line below. Enter the amounts as of the date of this application. If applicable, your investment in any gambling or related business should be reflected on Schedule "D."

Assets	Original Cost/Investment	Current Market Value
Cash (Total From Schedule "A")		
Accounts & Notes Receivable (Total From Schedule "B")		
Stocks and Bonds (Total From Schedule "C")		
Business Investments (Total From Schedule "D")		
Real Estate (Total From Schedule "E")		
Other Assets (Total From Schedule "F")		
TOTAL ASSETS	$	$

(M) STATEMENT OF LIABILITIES (FOR HOUSEHOLD):
List all liabilities owed on the appropriate line below. Enter the amount as of the date of this application.

Liabilities	Monthly Payment	Current Balance
Accounts Payable (Total From Schedule "G")		
Taxes Payable (Total From Schedule "H")		
Notes Payable (Total From Schedule "I")		
Mortgages Payable (Total From Schedule "J")		
Contingent and Other Liabilities (Total From Schedule "K")		
TOTAL LIABILITIES	$	$

NOTE: ADDITIONAL FINANCIAL INFORMATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

STATEMENT OF ASSETS

SCHEDULE "A"
Cash

List all cash and where it is located, e.g. bank accounts (foreign and domestic), safe deposit boxes, office safes, etc.

Location of Cash (e.g., Name & Address of Bank)	Account No.	Names of Persons Who Have Signature Authority on Account	Date Opened	Type of Account	Date of Balance	Balance
						TOTAL $

STATEMENT OF ASSETS

SCHEDULE "B"
Accounts and Notes Receivable

List all loans, accounts and notes receivable.

Name & Address of Debtor	Date Acquired	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Amount	Date of Unpaid Balance	Unpaid Balance

STATEMENT OF ASSETS
SCHEDULE "C"
Stocks and Bonds

List all stocks, bonds or mutual funds held or controlled, including beneficial interest in a trust. The individual stocks held in a mutual fund need not be itemized.

Issuer	Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	No. of Shares or Units	Registered Owners	Date of Current Market Value	Current Market Value
					TOTAL $	

STATEMENT OF ASSETS
SCHEDULE "D"
Business Investments

List any business investments in which any direct, indirect, vested, or contingent interest is held, along with the names of all individuals or entities who share a direct, indirect, vested, or contingent interest. This should include, but not be limited to, joint ventures, partnerships, limited liability company and corporations.

Entity Name	Type of Equity	No. of Shares or Units	Percentage of Ownership	Individuals or Entities Sharing Interest & Percentage Ownership	Name in Which Held	Date of Purchase	Purchase Price	Date of Current Market Value	Current Market Value

TOTAL $

STATEMENT OF ASSETS
SCHEDULE "E"
Real Estate

List any real property held with any direct, indirect, vested, or contingent interest.

Address/Location/Parcel Number	Type (Residential/Commercial)	Percentage of Ownership	Date of Purchase	Income (Rent/Lease)	Purchase Price	Date of Current Market Value	Current Market Value
						TOTAL $	

STATEMENT OF ASSETS
SCHEDULE "F"
Other Assets

List all other assets (e.g., automobiles, jewelry, artwork, etc.)

Type of Asset	Other Information (e.g., Year/Make/Model)	Date of Purchase	Purchase Price	Date of Current Market Value	Current Market Value
				TOTAL $	

STATEMENT OF LIABILITIES
SCHEDULE "G"
Accounts Payable

List all accounts payable (e.g., revolving accounts, credit cards, leases, lines of credit, etc.).

Name & Address of Creditor	Account Number	Credit Limit	Monthly Payment	Interest Rate (%)	Date of Unpaid Balance	Unpaid Balance

STATEMENT OF LIABILITIES

SCHEDULE "H"
Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., State Tax Board/Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Original Amount	Fines, Penalties & Interest	Date of Unpaid Balance	Unpaid Balance
					TOTAL $	

STATEMENT OF LIABILITIES

SCHEDULE "I"
Notes Payable

List all notes payable.

Name & Address of Creditor	Account Number	Collateral	Date Incurred	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Note Amount	Date of Unpaid Balance	Unpaid Balance
								TOTAL $	

STATEMENT OF LIABILITIES

SCHEDULE "J"
Mortgages Payable

List all mortgages or liens on real estate.

Name & Address of Creditor Account Number	Address & Parcel Number of Real Estate	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Loan Amount	Date of Unpaid Balance	Unpaid Balance

STATEMENT OF LIABILITIES

SCHEDULE "K"
Contingent and Other Liabilities

List any other indebtedness or contingent liability e.g., co-signer on a loan, pending litigation, etc.

Name & Address of Creditor	Description of Liability & Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Amount	Date of Unpaid Balance	Unpaid Balance
							TOTAL $	

BGC-APP-034A (Rev. 07/17)

DECLARATION

I, _____, declare that I have read the foregoing Level III Supplemental Information - Individual and understand its contents. My statements are true and correct and contain a full and true account of the information requested. I execute this declaration with the knowledge that any misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial of an application or revocation of a state license, finding or permit. I have familiarized myself with the contents of the California Gambling Control Act (Business and Professions Code section 19800 et seq.), the Regulations of the California Gambling Control Commission (California Code of Regulations, Title 4), and the Regulations of the Bureau of Gambling Control (California Code of Regulations, Title 11) as adopted and agree to abide by them.

I expressly waive, release, and forever discharge the State of California and its agents from any and all manner of action and causes of action whatsoever which I, my administrators or executors, can, shall, or may have against the State of California and its agents, relating to this supplemental information package.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true, correct, and complete.

_____ Date: _____
Signature

_____
Printed Name/Title

_____
Business Name

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

LEVEL III SUPPLEMENTAL INFORMATION - BUSINESS

INSTRUCTIONS

Each owner as defined by Title 4, California Code of Regulations, Chapters 2.1 and 2.2, who is **NOT** a natural person must complete the Level III Supplemental Information - Business and submit all required forms, documentation, and deposits.

Regular Mail and Commercial/Personal Delivery
Bureau of Gambling Control
2450 Del Paso Road, Suite 100
Sacramento, CA 95834
(916) 830-1700

Pursuant to Business and Professions Code section 19868, subd. (a), the supplemental information package will not be deemed complete until all required forms, documentation, and deposits have been received by the Bureau.

Forms/Documentation	Submitted (if applicable)
Level III Supplemental Information–Business (BGC-APP-034B (Rev. 07/17)) (includes Instructions)	
Gambling Business Playing Book Form - Copy	
Authorization to Release Information (BGC-APP-006 (Rev. 07/17))	
Appointment of Designated Agent For Owners and Proposition Players (BGC-APP-031 (Rev. 07/17))	
Request for Copy of Corporation, Exempt Organization, Partnership or Limited Liability Company Return (FTB 3516 C1 (Rev. 06-03, Side 2 - CORP))	
Request for Transcript of Tax Return (IRS 4506-T (Rev. April 2006))	
Signed copies of Federal tax returns for the past three years, including all schedules and attachments.	
Bank Statements - Copies for any and all business accounts for past 18 months.	
Investment Account Statements - Copies for any and all accounts for the past 18 months.	
Balance Sheets and Income Statements - Copies for last 3 fiscal years.	
Trust Agreement(s) pertaining to Third-Party Provider of Proposition Player Services - Copy	
All Lease Agreement(s) pertaining to Third-Party Provider of Proposition Player Services - Copy	
Management Company Agreement - Copy	
Partnership Agreement - Copy	
Employment Contract - Copy	
Articles of Incorporation - Copy	
Current Local Business License, Permit, Badge, etc. - Copy	
Employee List	
Duty Statements for each Employee Classification	
Organizational Chart - Include Names, Job Titles and Lines of Accountability	
Deposit of $11,500 for Level III Supplemental Information – Business Investigation and Processing	

Applicant is responsible for all investigative costs incurred by the Bureau. At the conclusion of the investigation, an itemized accounting will be provided. Monies received in excess of the actual costs incurred will be refunded.

California Department of Justice
Bureau of Gambling Control
Post Office Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

LEVEL III SUPPLEMENTAL INFORMATION - BUSINESS

Instructions: Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with N/A (Not Applicable). If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

Type of Applicant: ☐ TPPPPS ☐ *Funding Source for TPPPPS
☐ Gambling Business ☐ *Funding Source for Gambling Business
*If checked, provide description of financial arrangements and an explanation of origin of funds used for financing.

Type of License Applying for: ☐ Primary Owner ☐ Owner

California Gambling Control Commission (CGCC) Registration Category:

☐ Primary Owner ☐ Owner ☐ Supervisor ☐ Player ☐ Other Employee

CGCC Badge Number: _____ Date Issued: _____ Expiration Date: _____

Section 1. Business History Information

1. Name of business applicant: _____
2. Trade name to be used (if applicable): _____
3. Type of Business: ☐ Corporation ☐ Partnership ☐ Limited Liability Co. ☐ Jt. Venture ☐ Sole Proprietor
4. Business mailing address: _____
5. Main office (if different than above): _____
6. Address where business records are maintained (if different than above): _____

   Business Phone: (____) _____ Business Fax: (____) _____
7. If applicant has ever conducted business under another name in any jurisdiction or State, provide name and jurisdiction or state:

   _____

   _____

   Federal tax ID number: _____ State Tax ID number: _____

SSN* (if sole proprietorship): _____

[*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.]

8. Does this business have parent companies, subsidiaries or affiliates? ☐ Yes ☐ No

If Yes, please describe: _____

_____

9. List any current or previous business relationship(s) and/or agreements with the gaming industry, including Tribal Gaming.

Name of Business/Tribe	Address	Nature of Relationship	Dates of Relationship

Attach additional sheet if necessary.

Section 2. Other Licensing Information

(A) Has this business ever ***applied*** to any licensing or regulatory agency for a license, permit, certificate, registration, or authorization ***related to gaming***, whether or not such license, permit, certificate, registration, or authorization was granted?
☐ Yes ☐ No

If Yes, provide the following details:

Licensing/Regulatory Agency	Name & Address of Gaming Business	Type of Application	License/Permit Certificate/Registration Authorization Number	Dates Held

(B) Has this business ever had any disciplinary, administrative, or regulatory actions taken against the aforementioned application(s) for a license, permit, certificate, registration, or authorization ***related to gaming*** (e.g., withdrawal, denial, suspension, revocation, surrender)? ☐ Yes ☐ No

If Yes, provide the following details:

Licensing/Regulatory Agency	Name & Address of Gaming Establishment	Type of Application	Registration/Permit/ License/ Certificate Number	Action Taken	Dates Denied or Revoked

(C) Has this business ***ever applied*** to any licensing or regulatory agency for a license, permit, certificate, registration or authorization ***not related to gaming***, whether or not such license, permit, certificate, registration, or authorization was granted? ☐ Yes ☐ No

If Yes, provide the following details:

Licensing/Regulatory Agency	Name Applied Under	Type of Application	License/Permit/ Certificate/Registration/ Authorization Certificate Number	Dates Held

(D) Has this business ever had any disciplinary, administrative, or regulatory actions taken against the aforementioned application(s) for a license, permit, certificate, registration, or authorization ***not related to gaming*** (e.g., withdrawal, denial, suspension, revocation, surrender)? ☐ Yes ☐ No

If Yes, provide the following details:

Licensing/Regulatory Agency	Name Applied Under	Type of Application	Registration/Permit/ License/ Certificate Number	Action Taken	Dates Denied or Revoked

(E) Has this business **ever** withdrawn or surrendered an application for registration, permit, badge, license, certificate, finding of suitability, or any other authorization related to gaming in any jurisdiction? ☐ Yes ☐ No

If Yes, provide the following details:

Licensing/Regulatory Agency	Name & Address of Business	Type of Application	Registration/Permit/ Badge/License/ Certificate Number	Action Taken	Date & Reason(s) for Withdrawal or Surrender

(F) List all states or countries where incorporated, registered, or qualified to do business; also list or provide the corporation, registration, or license number and date qualified to do business: _____

_____

_____

(G) List all individuals (owner, partner, officer, director, shareholder, or member) with an ownership/financial interest in this business.

Name	Title	Investment Amount	Percentage of Interest

(H) List any remuneration exceeding $100,000 paid annually to persons other than the directors and officers.

_____

_____

Section 3. Criminal/Litigation History Information

(A) Has this business been party to a lawsuit or arbitration within the last 10 years? ☐ Yes ☐ No

If Yes, provide details here:

Name(s) of Plaintiff(s) & Defendant(s) Name(s) of Claimant(s) & Respondent(s)	Date Filed	State or Federal Court Name, Address	Case Number	Disposition/Date
Brief Explanation of Issues:				
Brief Explanation of Issues:				
Brief Explanation of Issues:				

Section 4. Financial History Information

(A) Has any interest in this business been assigned, pledged, or hypothecated to any individual or entity, or has any agreement or contract been entered into whereby any interest is to be assigned, pledged, or hypothecated either in part or in whole?
☐ Yes ☐ No

If Yes, provide complete details and dates:_____

(B) Has this business filed bankruptcy within the last 10 years? ☐ Yes ☐ No

If Yes, identify the Federal District Court where the bankruptcy was filed, case number, and date filed, and describe the circumstances which resulted in this action. Provide copies of the bankruptcy petition and order which lists all creditors and discharged debts. _____

(C) Has this business had a material reorganization within the last three years? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

Level III Supplemental Information - Business
BGC-APP-034B (Rev. 07/17)

(D) Have any individuals, businesses, or governmental agencies filed liens or judgments against this business?
☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(E) Has this business had any assets repossessed, seized, or debt turned over to collections for any reason within the last seven years? ☐ Yes ☐ No

If Yes, provide complete details and dates: _____

(F) Does this business own or control any assets or liabilities located outside the United States? ☐ Yes ☐ No

If Yes, provide complete details: _____

(G) Does this business own, control, manage, or hold in trust any assets or liabilities for another individual or entity?
☐ Yes ☐ No

If Yes, provide complete details: _____

(H) Is this business negotiating or planning any acquisition(s), merge(s), or sale of this business, a subsidiary, or an affiliate in the near future? ☐ Yes ☐ No

If Yes, provide complete details: _____

(I) Has this business' income tax return(s) been audited or adjusted within the last 10 years? ☐ Yes ☐ No

If Yes, provide complete details: _____

(J) Business' last Federal income tax return was filed on _____, (Date)
for tax year _____ at _____ (City) _____ (State).

Business' last State income tax return was filed on _____, (Date)
for tax year _____ at _____ (City) _____ (State).

Level III Supplemental Information - Business

BGC-APP-034B (Rev. 07/17)

STATEMENT OF ASSETS

From the following Statement of Assets, list the total value of all assets, both tangible and intangible, as of the date of this supplemental. All assets must be listed and described fully on the corresponding schedule. If applicable, the business' investment(s) should be reflected on Schedule "D."

Assets	Current Market Value
Cash (Total From Schedule "A")	
Accounts and Notes Receivable (Total From Schedule "B")	
Stocks and Bonds (Total From Schedule "C")	
Business Investments (Total From Schedule "D")	
Real Estate (Total From Schedule "E")	
Other Assets (Total From Schedule "F")	
TOTAL ASSETS	$

STATEMENT OF LIABILITIES

From the following Statement of Liabilities, list the total of all liabilities as of the date of this supplemental. All liabilities must be listed and described fully on the corresponding schedule. If applicable, any debt incurred to finance the business's investment(s) should be reflected on one of the schedules listed below.

Liabilities	Present Balance
Accounts Payable (Total From Schedule "G")	
Taxes Payable (Total From Schedule "H")	
Notes Payable (Total From Schedule "I")	
Mortgages Payable (Total From Schedule "J")	
Contingent and Other Liabilities (Total From Schedule "K")	
TOTAL LIABILITIES	$

NOTE: ADDITIONAL FINANCIAL INFORMATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

STATEMENT OF ASSETS

SCHEDULE "A"
Cash

List all cash the business has and where it is located, e.g. bank accounts (foreign and domestic), safe deposit boxes, office safes, etc.

Location of Cash (e.g., Name & Address of Bank)	Account No.	Type of Account	Date Opened	Names of Persons Who Have Signature Authority on Account	Date of Balance	Balance
					TOTAL $	

STATEMENT OF ASSETS

SCHEDULE "B"
Accounts and Notes Receivable

List all loans, accounts and notes receivable held by the business.

Name & Address of Debtor	Date Acquired	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Amount	Date of Unpaid Balance	Unpaid Balance
						TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF ASSETS

SCHEDULE "C"
Stocks and Bonds

List all stocks, bonds, mutual funds, commodity accounts, options, warrants, etc. held or controlled by the business.

Issuer	Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	No. of Shares or Units	Registered Owners	Date of Current Market Value	Current Market Value
					TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF ASSETS

SCHEDULE "D"
Business Investments

List any business investments in which any direct, indirect, vested, or contingent interest is held by the business, along with the names of all individuals or entities who share a direct, indirect vested, or contingent interest. This should include, but not be limited to, joint ventures, partnerships, limited liabilities companies, and corporations.

Entity Name	Type of Equity	No. of Shares or Units	Percentage of Ownership	Individuals or Entities Sharing Interest & Percentage Ownership	Date of Purchase	Purchase Price	Date of Current Market Value	Current Market Value
							TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF ASSETS

SCHEDULE "E"
Real Estate

List any real property in which the business holds any direct, indirect, vested, or contingent interest.

Address/Location/Parcel Number	Type (Residential/Commercial)	Percentage of Ownership	Date of Purchase	Income (Rent/Lease)	Purchase Price	Date of Current Market Value	Current Market Value
						TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF ASSETS

SCHEDULE "F"
Other Assets

List all other assets the business holds (e.g., art collections, coin collections, antiques, automobiles, etc.)

Type of Asset	Description	Date of Purchase	Purchase Price	Date of Current Market Value	Current Market Value
				TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF LIABILITIES

SCHEDULE "G"
Accounts Payable

List all accounts payable for the business (e.g. revolving accounts, credit cards, leases, lines of credit.)

Name & Address of Creditor	Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Date of Unpaid Balance	Unpaid Balance
						TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF LIABILITIES

SCHEDULE "H"
Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., State Tax Board/Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Original Amount	Fines, Penalties & Interest	Date of Unpaid Balance	Unpaid Balance
					TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF LIABILITIES

SCHEDULE "I"
Notes Payable

List all notes payable.

Name & Address of Creditor	Account Number	Collateral	Date Incurred	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Note Amount	Date of Unpaid Balance	Unpaid Balance
								TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF LIABILITIES

SCHEDULE "J"
Mortgages Payable

List all mortgages or liens on real estate.

Name & Address of Creditor Account Number	Address & Parcel Number of Real Estate	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Loan Amount	Date of Unpaid Balance	Unpaid Balance
							TOTAL $	

BGC-APP-034B (Rev. 07/17)

STATEMENT OF LIABILITIES

SCHEDULE "K"
Contingent and Other Liabilities

List any other indebtedness or contingent liability, e.g., co-signer on a loan, pending litigation, etc.

Name & Address of Creditor	Collateral	Date Incurred	Description of Liability & Account Number	Payment Amount & Payment Period (e.g., Weekly, Monthly)	Interest Rate (%)	Original Amount	Date of Unpaid Balance	Unpaid Balance
							TOTAL $	

BGC-APP-034B (Rev. 07/17)

DECLARATION

I, _____, declare that I, the authorized representative or designated agent, have read the foregoing Level III Supplemental Information - Business and understand its contents. My statements are true and correct and contain a full and true account of the information requested. I execute this declaration with the knowledge that any misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial of an application or revocation of a state license, finding or permit. I have familiarized myself with the contents of the California Gambling Control Act (Business and Professions Code section 19800 et seq.), the Regulations of the California Gambling Control Commission (California Code of Regulations, Title 4), and the Regulations of the Bureau of Gambling Control (California Code of Regulations, Title 11) as adopted and agree to abide by them.

I expressly waive, release, and forever discharge the State of California and its agents from any and all manner of action and causes of action whatsoever which I, my administrators or executors, can, shall, or may have against the State of California and its agents, relating to this Application Package for Licensure.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true, correct, and complete.

_____ Date: _____
Signature

_____
Printed Name/Title

_____
Business Name

CHAPTER 2.2: INCORPORATED BY REFERENCE (REPEALED FORMS)

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR GAMBLING BUSINESS LICENSE
FOR BUSINESS ENTITIES AND OWNERS

BGC-533 (Rev. 10/17)

Pursuant to Business and Professions Code section 19853, except as provided in California Code of Regulations, Title 4, Section 12221, no person may perform in the capacity of a primary owner or owner in the operation of a gambling business without a license issued by the California Gambling Control Commission (Commission). A license certificate will be issued after the application is approved by the Commission and will indicate the name of the "primary owner."

Instructions:
Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). Incomplete applications will be returned. You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item.

Please submit the following with the application for the license renewal for an individual:
- ☐ Two 2x2 inch, passport-style color photographs taken within the last 12 months
- ☐ Photocopy of your current State Driver's License or State Identification Card

Send the completed application package with required fee (listed below) to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024. Please make all checks payable to the Bureau of Gambling Control.

Name of Gambling Business (Business)	Name of Applicant (Individual or Entity)

Please check one box indicating whether you are applying for an *initial* or *renewal* license.

☐ **INITIAL**

Application Fee: $1000 Non-refundable (Primary Owner, Business, Individual, and Trust)

Background Deposit: $11,500 (Owner-Entity)
$6,000 (Owner-Person)
$2,500 (Owner-Trust)

The unused portion of any background deposit will be refunded.

NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.

☐ **RENEWAL**

Application Fee: $1000 Non-refundable (Primary Owner, Business, Individual, and Trust)

Background Deposit: $2,000 (Owner-Entity)
$800 (Owner-Person and Owner-Trust)

The unused portion of any background deposit will be refunded.

SECTION 1 – TYPE OF APPLICATION (check one box)
Submit the information listed below with the required fees/deposits with your initial or renewal application.

☐ **Primary Owner**: The primary owner is a sole proprietor, corporation, partnership, or other business entity that proposes to conduct a gambling business in a gambling establishment (see California Code of Regulations, Title 4, Section 12220(b)(17)).

Sole Proprietors: Submit one application with all sections completed *except* 3a and 3b

All other Owner Types, including Trusts (As indicated in section 3a): Complete all sections *except* 4

☐ **Owner**: An owner is any other owner type not covered above, such as: an officer in a corporation, a limited partner in a partnership, any person who receives any percentage share of the revenues earned, or any funding source (see California Code of Regulations, Title 4, Section 12220(b)(10)).

Individual Applicants, including Trustors, Trustees, and Beneficiaries (As indicated in section 4): Complete sections 4, 5, 6, and 7

Entity Applicants, including Trusts (As indicated in section 3a): Complete sections 3, 5, 6, and 7.

SECTION 2 – PRIMARY OWNER INFORMATION
Attach a current organization chart for this business that includes the primary owner and all other owners that will be endorsed upon the primary owner's license.

Primary Owner Name		
Street Address		
Mailing Address (If different than above)		
Telephone Number ( )	Fax Number ( )	Website Address (If any)

SECTION 3a – ENTITY STRUCTURE (check one box)
Attach a current organization chart for the entity indicating the names and titles of any officers, shareholders, partners, members, etc. that are associated with this entity.

☐ General Partnership	☐ Corporation:	☐ Trust:
☐ Limited Partnership	☐ Publicly Traded	☐ Revocable
☐ Joint Venture	☐ Private:	☐ Irrevocable
☐ Limited Liability Company	☐ Sub-Chapter S	
☐ Other: _____	☐ Sub-Chapter C	

SECTION 3b – ENTITY INFORMATION
Please provide the information below for the entity structure indicated in section 3a. 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, enter 0% in the ownership column. If a section does not apply, write "N/A" not applicable. If additional space is needed, please use separate sheets of paper.

Entity Name	
Street Address	
Telephone Number ( )	Fax Number ( )

Entity / Individual's Name	Title	Ownership / Membership Interest Percentage	Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.)
		%	
		%	
		%	

SECTION 4 – INDIVIDUAL APPLICANT INFORMATION

Indicate your association with the business. (Check all that apply)

☐ Sole Proprietor	☐ Officer	☐ Financial Interest Holder	☐ Trustor
☐ General Partner	☐ Director	☐ Community Property Interest	☐ Trustee
☐ Limited Partner	☐ Landlord	☐ Other: _____	☐ Current Beneficiary
☐ Shareholder	☐ LLC Member		

Last Name	First Name	Middle Initial

Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)

*Residence Address – Number/Street (See page 4 for note)	Apt. / Unit Number

City	County	State	Zip Code

*Mailing Address, if different than above (See page 4 for note)

Contact Numbers			E-mail Address (If any)
Home: ( )	Work: ( )	Cell: ( )	

Birthdate (mm/dd/yyyy)	Gender	**Social Security Number (See page 4 for note)
	☐ Male ☐ Female	

SECTION 5– RENEWAL INFORMATION

Complete this section only if you are renewing your license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.

A) Primary Owner:	
1. Has there been any changes affecting ownership or controlling interest in this business since last filing an application for a gambling business license?	☐ Yes ☐ No
2. Has there been any changes affecting the ownership or controlling interest in any entity that is endorsed upon the license of the primary provider?	☐ Yes ☐ No
3. Has there been any acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?	☐ Yes ☐ No
B) Owner:	
1. Have you been a party to any civil litigation since last filing a gambling business license application?	☐ Yes ☐ No
2. Have you been named in any administrative action affecting any license certification since last filing a gambling business license application?	☐ Yes ☐ No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a gambling business license application?	☐ Yes ☐ No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?	☐ Yes ☐ No
Complete the following only if renewing as a Trust: Have there been (a) any amendments to the trust document or (b) any changes to a beneficiary, trustee, or trust asset since last filing a gambling business license application?	☐ Yes ☐ No

SECTION 6– AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION		
Last Name	First Name	Restrictions If any:
Relationship to Applicant: ☐ Owner ☐ Attorney ☐ Employee ☐ Other:_____		Business Name, if applicable
Mailing Address		
Telephone Number ( )	Fax Number ( )	E-mail Address (if any)

SECTION 7 – DECLARATION / SIGNATURE

An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

Name of Individual Completing this Application (*typed or printed*)	Title
Signature	Date
Signature of Designated Agent	Date

* You must provide your residence address to the Bureau. Unless a separate mailing address is provided, the Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the Bureau's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).

** Disclosure of your U.S. 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 verification of 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

Trust Applicants Only Please disregard the instructions on the Trust Supplemental Background Investigation Information BGC-APP-143 which are generally directed at gambling establishment applicants. Follow the instructions below, which are directed at gambling business applicants.

Any trust that is an owner of a gambling business must be registered or licensed. Other trust-related persons must also be registered or licensed: the trustor of the trust, any trustee and any current beneficiary. "Trustor" means the same thing as "grantor," "donor," or "settlor": an individual who creates a trust.

A current beneficiary must be registered or licensed if either of the follows applies:

(1) The beneficiary receives a distribution from a trust that is an owner of a gambling business.
(2) The beneficiary receives any percentage share of revenue from gambling activities. For example, under the terms of the Washington Family Trust, beneficiary William Washington is to receive 10% of the net gaming revenue from the Washington Gambling Business Company every six months.

Trusts: Must submit a Trust Supplemental Background Investigation Information BGC-APP-143 (Rev. 07/17) along with this form (Application for Gambling Business License (BGC-533)).

Trustors, Trustees, and Current Beneficiaries: Must submit this form (Application for Gambling Business License (BGC-533)). If the trustee is also the trustor and the beneficiary, only one BGC-533 form needs to be submitted.

Contingent Beneficiary: A contingent or future beneficiary is not required to be registered or licensed unless specifically directed to apply by the Commission. However, a contingent or future beneficiary may elect to submit an application, if, for instance, the beneficiary wishes to avoid future delays in receiving income or a share in ownership in a business when the future event occurs, for instance, the death of the current beneficiary.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR GAMBLING BUSINESS LICENSE FOR SUPERVISOR, PLAYER OR OTHER EMPLOYEE

BGC-534 (Rev. 10/17)

Pursuant to Business and Professions Code section 19853, except as provided in California Code of Regulations, Title 4, Section 12221, no person may perform in the capacity of a supervisor, player or "other employee" in the operation of gambling business without a license issued by the California Gambling Control Commission (Commission).

Send the completed application package with required fee (listed below) to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024. Please make all checks payable to the Bureau of Gambling Control.

Please submit the following with the **renewal application** only:

- ☐ Two 2x2 inch, passport-style color photographs taken within the last 12 months
- ☐ Photocopy of your current State Driver's License or State Identification Card

Applicant's Last Name	First Name	Middle Initial

Name of Gambling Business(Business)	License or Registration Number

Job Title	☐ Supervisor	☐ Player	☐ Other Employee

Description of Job Duties

Please check one box indicating if you are applying for an *initial* or *renewal* license.

☐ **INITIAL**

Application Fee: $750 Non-refundable (Supervisor)
$500 Non-refundable (Player and Other Employee)

Background Deposit: $2,500 (Supervisor)

No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.

The unused portion of any background deposit will be refunded.

NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.

☐ **RENEWAL**

Application Fee: $750 Non-refundable (Supervisor)
$500 Non-refundable (Player and Other Employee)

Background Deposit: $450 (Supervisor)

No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.

The unused portion of any background deposit will be refunded.

SECTION 1 – APPLICANT INFORMATION

Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)

*Residence Address – Number/Street (See page 3 for note) | Apt. / Unit Number

City | County | State | Zip Code

*Mailing Address, if different than above (See page 3 for note)

Contact Numbers
Home: ( ) | Work: ( ) | Ext: | Other: ( ) | ☐ Cell ☐ Fax

Birthdate (mm/dd/yyyy) | Gender ☐ Male ☐ Female | **Social Security Number (See bottom of page for note)

SECTION 2 - RENEWAL INFORMATION

Complete this section only if renewing your gambling business license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.

1. Have you been a party to any civil litigation since last filing a gambling business license application?	☐ Yes	☐ No
2. Have you been named in any administrative action affecting any license certification since last filing a gambling business license application?	☐ Yes	☐ No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a gambling business license application?	☐ Yes	☐ No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?	☐ Yes	☐ No

SECTION 3 – AUTHORIZED REPRESENTATIVE/DESIGNATED AGENT INFORMATION

Last Name | First Name | Restrictions, if any:

Relationship to Applicant: ☐ Self ☐ Attorney ☐ Other:_____ | Business Name, if applicable

Mailing Address

Telephone Number ( ) | Fax Number ( ) | E-mail Address (if any)

SECTION 4 –DECLARATION/SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

Signature of Applicant in Full | Date

Signature of Designated Agent | Date

* You must provide your residence address to the Bureau. Unless a separate mailing address is provided, the Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the Bureau's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).

** Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 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 verification of 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

APPLICATION FOR GAMBLING BUSINESS LICENSE INSTRUCTIONS

Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license.

Retain a photocopy of the complete application packet for your permanent records. A separate application and fee is required for each applicant.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR GAMBLING BUSINESS REGISTRATION

BGC–535 (Rev. 10/17)

Please refer to the instructions when completing the application. Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: APPLICATION (Mark one)

New ☐ Renewal ☐ Temporary ☐

SECTION 2: REGISTRATION CATEGORY (Mark one)

Owner ☐ Primary Owner ☐ Player ☐ Supervisor ☐ Other Employee ☐

SECTION 3a: ENTITY TYPE (refer to Section 3a of the instructions for details)

SECTION 3b: RELATIONSHIP TO PRIMARY OWNER (refer to Section 3b of the instructions for details)

SECTION 4: APPLICANT INFORMATION

Applicant's Full Legal Name:

First MI Last

Other Names:

Applicant's Business Telephone Number: ( )

Applicant's Business Facsimile Number (if applicable): ( )

SECTION 5: PRIMARY OWNER INFORMATION (if applicable)

Primary Owner's Name:

Primary Owner's Mailing Address:

Street City State Zip Code

Designated Officer's Name:

Designated Officer's Telephone Number: ( )

Designated Officer's E-mail Address:

SECTION 6: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature:_____

Date:_____

Designated Officer Signature: _____
Date:_____

APPLICATION FOR GAMBLING BUSINESS REGISTRATION INSTRUCTIONS

Retain a photocopy of the complete application packet for your permanent records. A separate application and fee is required for each applicant.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. The applicant is responsible for providing the appropriate information needed to determine eligibility for the issuance of a Gambling Business Registration each time an application is submitted. If a question is not applicable, indicate with "N/A." If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

The following is required for an initial registration submission:

- Application for Gambling Business Services Registration (BGC–535 (Rev. 10/17))
- If applying as an individual, Gambling Business Registration Supplemental Information Form (BGC–536 (Rev. 07/17))
- If applying as an individual, request for Live Scan Service
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations, section 12220
- A non-refundable $500 application fee (payable to the Bureau of Gambling Control)

The following is required for a renewal registration submission:

- Application for Gambling Business Registration (BGC–535 (Rev. 10/17))
- If applying as an individual, Gambling Business Registration Supplemental Information Form (BGC–536 (Rev. 07/17))
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations, section 12220
- A non-refundable $500 application fee (payable to the Bureau of Gambling Control)

SECTION 1: APPLICATION

Indicate whether applying for a new or renewal registration by checking the appropriate box.

SECTION 2: REGISTRATION CATEGORY

Indicate category of registration applying for by checking the appropriate box.

SECTION 3a: ENTITY TYPE

If applying for registration as primary owner, indicate the entity type of your business from the selection below:

Sole Proprietor Corporation Limited Liability Company (LLC) Partnership

SECTION 3b: RELATIONSHIP TO "PRIMARY OWNER"

If applying for registration as an owner, indicate your relationship with the "Primary Owner" from the selection below. However, if that relationship is based upon an interest in another owner that is a business entity or trust, identify that other owner and indicate the relationship with that other owner.

Shareholder	LLC Member	General Partner	Corporate InterestTrust
Limited Partner	Joint Venture	Trustee	Trust (specify type)
Director	Beneficiary	Financial Interest	Community Property Interest
Officer	Funding Source	Limited Partnership	Other Interest

If "other interest," describe the interest in the blank provided in Section 3b.

SECTION 4: APPLICANT INFORMATION

- If applying as an individual, provide your full legal name and any former names (aliases, etc.). If applying as a business entity, provide the legal name of the entity and any alternative names for the same business entity. You must notify the Commission of any name, address or telephone number changes.
- Provide business telephone and facsimile number in appropriate areas.

SECTION 5: PRIMARY OWNER INFORMATION

"Primary Owner" is defined in regulation as a sole proprietor, corporation, partnership, or other business entity that conducts or proposes to conduct a gambling business as an independent contractor in a gambling establishment.

- If applying as an individual, in the appropriate box provide the name and mailing address of the primary owner by whom you are employed.
- If you are applying as an owner, in the appropriate box provide the name and mailing address of your gambling business entity.
- If applying as a business entity, in the boxes provided for designated officer information provide the name, telephone number, and e-mail address of the authorized representative who will serve as the entity's contact person to the Gambling Control Commission.

SECTION 6: DECLARATION

If applying as an individual, both the applicant and the designated officer of the primary owner must sign the application under penalty of perjury. If applying as a business entity, the chief executive officer or designated officer must sign the application under penalty of perjury. The application must be signed and dated to be considered complete.

PLEASE SEND COMPLETED APPLICATION PACKET TO:

Bureau of Gambling Control
P.O. Box 168024
Sacramento, CA 95816-8024

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

GAMBLING BUSINESS REGISTRATION SUPPLEMENTAL INFORMATION

BGC–536 (Rev. 07/17)

Type or print (in ink) all information requested on this supplemental form. If additional space is needed, please note response on a separate sheet of paper and attach to this form.

SECTION 1: APPLICANT PERSONAL HISTORY INFORMATION

Applicant's Full Legal Name: Gender: Male ☐ Female ☐

First MI Last

Applicant's Mailing Address:

Street City State Zip Code

Applicant's Telephone Number: ( )

Applicant's Facsimile Number (if applicable): ( )

Date of Birth:

*Social Security Number:

Please indicate answers to the following questions by placing an X in the appropriate box.

1. **Have you ever been convicted of a felony?** **Yes** ☐ **No** ☐
2. **Within the last ten years, have you ever been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities, violations of the Gambling Control Act, or dishonesty or moral turpitude, not including convictions that have been expunged or dismissed as provided by law?** **Yes** ☐ **No** ☐
3. **Have you ever had a third party proposition player registration, a state gambling license, a key employee license, a work permit, or a finding of suitability revoked?** **Yes** ☐ **No** ☐
4. **Have you ever had an application denied for third party proposition player registration or under the Gambling Control Act?** **Yes** ☐ **No** ☐

SECTION 2: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature:_____ Date: _____

Title:_____

* Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

REQUEST FOR REPLACEMENT GAMBLING BUSINESS BADGE

BGC–538 (Rev. 10/17)

When requesting a replacement badge a registrant/licensee must complete and submit this form to the Bureau of Gambling Control at P.O. Box 168024, Sacramento, CA 95816-8024 accompanied by a $25.00 check made payable to the Bureau of Gambling Control.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: APPLICANT INFORMATION

Applicant's Full Legal Name:

First MI Last

Mailing Address:

Applicant's Telephone Number: ( )

Social Security Number: (for identification purposes)

Gambling Business Badge #:

SECTION 2: REGISTRATION/LICENSE

1. Currently registered or licensed with the Commission: (Mark one)
   ☐ Registered ☐ Licensed
2. Category: (Mark one)
   ☐ Owner ☐ Player ☐ Supervisor ☐ Other Employee
3. Badge was: (Mark one)
   ☐ Lost ☐ Stolen ☐ Damaged
   ☐ Incorrect due to change of name:

   Previous name: _____

   New Name: _____

   Before your name will be changed you must submit **one** of the following:
   - Copy of marriage certificate.
   - Copy of court document authorizing legal name change.
   - Clear copy of driver's license **AND** social security card.

SECTION 3: PRIMARY OWNER INFORMATION

Primary Owner's Name:

I certify that this registrant/licensee has my authorization to request a replacement badge.

Designated Officer Signature: _____ Date: _____

SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I am the applicant, and that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature: _____ Date: _____

*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

REQUEST FOR AN ADDITIONAL/TRANSFER/REINSTATEMENT OF GAMBLING BUSINESS SERVICES REGISTRATION/LICENSE

BGC–539 (Rev. 07/17)

When requesting either to transfer, reinstate, or acquire an additional badge for a new primary owner, a registrant/licensee must complete and submit this form to the Bureau of Gambling Control at P.O. Box 168024, Sacramento, CA 95816-8024, accompanied by the following:

- A $125.00 check made payable to the Bureau of Gambling Control.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: APPLICANT INFORMATION

Type (Check One): ☐ Additional ☐ Transfer ☐ Reinstatement

Category (Check One): ☐ Player ☐ Supervisor ☐ Other

Applicant's Full Legal Name:

First MI Last

Mailing Address:

Applicant's Telephone Number: ( )

*Social Security Number: (for identification purposes)

Badge #:

SECTION 2: PRIMARY OWNER INFORMATION

Name of primary owner (employer) you are currently registered/licensed with, transferring or reinstating from:

Date of disassociation (applies only to transfers):

Name of primary owner (employer) you are transferring to or acquiring an additional badge for:

Employment or Re-employment Date:

SECTION 3: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature: _____ Date: _____

Designated Officer Signature: _____ Date: _____

*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

GAMBLING BUSINESS EMPLOYEE AND INDEPENDENT CONTRACTOR REPORT

BGC–540 (Rev. 10/17)

Submitted pursuant to California Code of Regulations (CCR), Title 4, Section 12220.14
(Type or print clearly in ink.)

1. Name of Primary Owner: _____

2. Identify every individual who is, or who has been since the filing of the previous report, employed or independently contracted by the above primary owner as an owner, supervisor, player, or other employee as defined in CCR, Title 4, Section 12220. Attach additional sheets as necessary.

Employee/Independent Contractor Name	Social Security Number	Job Title	Description of job duties, responsibilities and authority.

_____ _____
Signature of Designated Officer Date

_____
Print Name/Title

*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a $100 penalty against you.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

CHANGE IN STATUS FORM FOR A GAMBLING BUSINESS REGISTRATION OR LICENSE

BGC–541 (Rev. 10/17)

When a registrant or licensee's employment status or affiliation with a primary owner ceases to exist, the registrant/licensee must surrender his or her badge to the primary owner. The primary owner's designated officer must notify the Bureau of Gambling Control of the change in the registrant's or licensee's status within 10 days of the change by completing and submitting this form to the Bureau of Gambling Control at P.O. Box 168024, Sacramento, CA 95816-8024. Additionally, any badge that is received by a primary owner under these circumstances shall be returned to the Commission within 10 days of receipt.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

SECTION 1: PRIMARY OWNER INFORMATION

Name of Primary Owner:

SECTION 2: REGISTRANT/LICENSEE INFORMATION

Name of Registrant or Licensee:

First MI Last

Badge Enclosed? ☐Yes ☐No If NO, reason why _____

Gambling Business Badge #:

Date of change in status:

SECTION 3: CHANGE OF EMPLOYMENT STATUS INFORMATION

Reason for disassociation with primary owner: (Mark one)

☐ Terminated ☐ Resigned ☐ Affiliation Ceased ☐ Other _____

SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Designated Officer Signature: _____ Date: _____

Designated Officer Name (Print): _____

CHAPTER 3: APPENDIX A (PROPOSED FORMS)

Application for Playing Book Approval

CGCC-CH3-01 (New 05/20)

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)

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)

☐ NEW	☐ EXPEDITED NEW	☐ AMENDMENT	☐ 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-CH1-04 (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-CH1-04 (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 3: APPENDIX A (REPEALED FORMS)

State of California

Application for Playing Book Approval

BGC-APP 036 (Rev. 1/15)
Page 1 of 2

Department of Justice

BUREAU USE ONLY
BCC ID#: _____

MAIL COMPLETED FORM AND DEPOSIT TO:

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

COMMERCIAL/EXPRESS DELIVERIES ONLY

BUREAU OF GAMBLING CONTROL
ATTN: THIRD-PARTY PROVIDER UNIT
2450 Del Paso Road, Suite 100
Sacramento, CA 95834

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

All information must be typed or printed legibly in blue or black ink. If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section number. Please review California Code of Regulations, Title 4, Sections 12250 to 12290 prior to submitting a playing book for approval. Failure to provide the requested information may result in the abandonment or denial of this application.

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

SECTION 1: TYPE OF FORM SUBMITTED (check one box and submit the additional required items)

☐ HARD COPY PLAYING BOOK FORM ($75)
COMPLETE SECTIONS 2, 3, 7 & 8

☐ ELECTRONIC PLAYING BOOK SYSTEM ($1200)
COMPLETE SECTIONS 2, 3, 4, 5, 7 & 8

SECTION 2: TYPE OF APPROVAL REQUESTED

☐ INITIAL

☐ AMENDMENT
IN ADDITION TO THE SECTIONS IDENTIFIED ABOVE, COMPLETE SECTION 6

SECTION 3: PRIMARY OWNER INFORMATION (check one box)

☐ THIRD-PARTY PROVIDER OF PROPOSITION PLAYER SERVICES ☐ GAMBLING BUSINESS

FULL NAME OF PRIMARY OWNER (BUSINESS ENTITY OR SOLE PROPRIETOR)	REGISTRATION/LICENSE NUMBER

SECTION 4: INFORMATION TECHNOLOGY TECHNICIAN CONTACT INFORMATION

(Must be registered or licensed pursuant to CCR §12260(j))

LAST NAME	FIRST NAME	REGISTRATION/LICENSE NUMBER	
MAILING ADDRESS (NUMBER/STREET/SUITE)	CITY	STATE	ZIP CODE
TELEPHONE NUMBER / FAX NUMBER	EMAIL ADDRESS		

SECTION 5: DESCRIBE HOW THE SIGNATURE WILL BE INDICATED *(FOR ELECTRONIC PLAYING BOOK SYSTEMS ONLY)*

SECTION 6: BRIEFLY EXPLAIN THE REASON FOR THE AMENDMENT AND IDENTIFY THE CHANGES

(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:

☐ PRINTED PLAYING BOOK FORM ☐ SCREEN SHOTS OR PICTURES OF THE FORM AS IT APPEARS ON THE DEVICE

☐ CERTIFICATION FROM AN INDEPENDENT GAMING TESTING LABORATORY

☐ CHART OF SYSTEM ACCESS

☐ WRITTEN SUMMARY OF THE DESIGN AND OPERATION OF THE SYSTEM

AT LEAST ONE OF THE FOLLOWING: ☐ A VIDEO OF THE SYSTEM IN OPERATION ☐ A PROTOTYPE DEVICE WITH WRITTEN INSTRUCTIONS AND NECESSARY ACCESS ☐ A LIVE DEMONSTRATION OF THE SYSTEM WILL BE PROVIDED

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

SECTION 8: Signature

PRINTED NAME	SIGNATURE	CAPACITY	DATE (MM/DD/YYYY)

This form must be signed by the appropriate person identified below:
- By an authorized officer, if applicant/licensee is a corporation, LLC, or joint venture.
- By an authorized partner, if applicant/licensee is a general partnership or limited partnership.
- By the owner, if applicant/licensee is a sole proprietor.

PRIVACY NOTICE

THE INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTION 1798.17) AND THE FEDERAL PRIVACY ACT (PUBLIC LAW 93-579) REQUIRE THAT THIS NOTICE BE PROVIDED WHEN COLLECTING PERSONAL INFORMATION FROM INDIVIDUALS. INFORMATION REQUESTED ON THIS FORM IS REQUIRED BY THE STATE OF CALIFORNIA, DEPARTMENT OF JUSTICE, DIVISION OF LAW ENFORCEMENT, BUREAU OF GAMBLING CONTROL (BUREAU), PURSUANT TO CALIFORNIA CODE OF REGULATIONS, TITLE 4, SECTIONS 12261 AND 12264. THE BUREAU USES THIS INFORMATION TO REVIEW AND APPROVE A PLAYING BOOK FORM OR SYSTEM.

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

THE DEPARTMENT OF JUSTICE'S GENERAL POLICY IS AVAILABLE AT: http://oag.ca.gov/privacy-policy. YOU MAY REVIEW THE RECORDS MAINTAINED BY THE BUREAU THAT CONTAIN YOUR PERSONAL INFORMATION, AS PERMITTED BY THE INFORMATION PRACTICES ACT. FOR QUESTIONS REGARDING THIS NOTICE OR ACCESS TO YOUR RECORDS, YOU MAY CONTACT THE BUREAU AT (916) 830-1700.

CHAPTER 6: APPENDIX A (REPEALED FORMS)

State Of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

REQUEST FOR A CERTIFICATE TO OPERATE ADDITIONAL TABLES ON A TEMPORARY BASIS BGC–024 (Rev. 10/17)

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application. Any corrections, changes, or other substitutions must be initialed and dated by the applicant. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification.

PLEASE SEND COMPLETED APPLICATIONS TO: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024

Attach a payment *(payable to the Bureau of Gambling Control)*, for the total amount of the following fees and deposit:

A non-refundable $500 application fee

Temporary tables fees (see reverse for instructions)

A $400 review deposit, pursuant to Cal. Code of Regulations, **Title 11, Section 2037**

SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Name of Gambling Establishment:

Business Address:

Street City State Zip Code

Business Telephone Number: ( )

Business Facsimile Number (if applicable): ( )

SECTION 2: EVENT INFORMATION

A)	Number of Presently Authorized Permanent Tables:	
B)	Number of Requested Additional Temporary Tables for the Event:	
C)	Total Number of Proposed Tables during the date listed in this request: (Total Amount of A and B)	
D)	Amount of table fees included with this request: *(Refer to instructions for additional information.)*	
E)	Proposed Date(s) and Time(s) of the Event *(If the number of tables vary on multiple dates, attach a list by date):*	
F)	Name of the Event:	
G)	Location of the Event within the Gambling Establishment:	
H)	Approved Games or Gaming Activities to be offered during this Event: *(If Bureau approval is pending, please so state.)*	

SECTION 3: DECLARATION

I request the issuance of a Certificate to Operate Additional Tables on a Temporary Basis at the above-named gambling establishment.

I understand that the establishment identified above will not be allowed to legally operate more than the number of tables for which a fee is being paid.

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Signature of Owner Licensee:_____

Print Name:

Date: / /

Designated Contact for this Application

Telephone Number: ( )

REQUEST FOR A CERTIFICATE TO OPERATE ADDITIONAL TABLES ON A TEMPORARY BASIS

SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Provide the legal name of the entity and any alternative names for the same business entity. You must notify the Bureau of any name, address or telephone number changes. Your information is used to provide proper identification of your file, to contact you, and/or to determine your eligibility. Personal information contained in this application may be disclosed to the public in accordance with the Gambling Control Act (Business and Professions Code section 19821(b)).

SECTION 2: EVENT INFORMATION

Indicate the number of tables that the gambling establishment currently has and the number it is requesting to operate on a temporary basis. Also provide the total number of tables that the gambling establishment wishes to operate and all relevant event information. Note: All requests are subject to compliance with local ordinances and state gambling laws.

INSTRUCTIONS FOR CALCULATING THE AMOUNT OF TABLE FEES TO OPERATE ADDITIONAL TABLES ON A TEMPORARY BASIS

Determine the amount of the required fee that must be included with this request by completing the following steps and using the table below:

Number of Tables	Per Table Fee
One to Five	$300
Six to Eight	$550
Nine to Fourteen	$1,300

Number of Tables	Per Table Fee
Fifteen to Twenty-five	$2,700
Twenty-six to Seventy	$4,000
Seventy-one or more	$4,700

1. Add the current number of authorized tables licensed by the Commission to operate to the number of special event tables.
2. Multiply the total number of tables by the per table fee indicated in the above table.
3. From this total, subtract the basic table fees previously assessed for the current year.
4. Divide this figure by 365. This establishes the additional daily table fee for the event.
5. Multiply this total by the number of event days (fractions or portions of a day are considered a full day) and round your result up to the nearest whole number.
6. Multiply this number by two. This final figure is the table fee for the tournament or special event.

EXAMPLE: Gambling establishment "A" proposes to operate an additional 3 tables during a 5-day tournament. Establishment "A" is licensed/certified by the Commission for 24 tables and has been previously assessed a fee of $64,800 (24 tables x $2,700 per table = $64,800)

1. Add the current number of tables and the additional number of tournament tables (24 current + 3 additional = 27 total)
2. Multiply this amount by the per table fee shown above (27 total # tables x $4,000 per table = $108,000).
3. From this amount, subtract the previously assessed fee for the year ($108,000 - $64,800 previously assessed fee = $43,200).
4. Divide this amount by 365 ($43,200 ÷ 365 = $118.36).
5. Multiply this amount by the number of days of the tournament ($118.36 x 5 days = $591.80) and round this number up to the nearest whole number ($592).
6. Multiply this amount by two ($592 x 2 = $1184). The final fee for Establishment "A" to operate the additional tables for its tournament would be $1184.

SECTION 3: DECLARATION

Sign and date the application under penalty of perjury. An application must be signed and dated to be considered complete. The designated contact person for this application must also be included, if applicable.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR ADDITIONAL AUTHORIZED PERMANENT TABLES
BGC–027 (Rev. 07/17)

Please refer to the instructions when completing the application. Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application. Any corrections, changes, or other substitutions must be initialed and dated by the applicant. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification.

PLEASE SEND COMPLETED APPLICATIONS TO: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024

Attach a payment *(payable to the Bureau of Gambling Control)*, for the total amount of the following fee and deposit:

A non-refundable $500 application fee

A $400 review deposit, pursuant to Cal. Code of Regulations, Title 11, Section 2037

SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Name of Gambling Establishment:

Business Address:

Street City State Zip Code

Mailing Address (*if different than Business Address*):

Street City State Zip Code

Business Telephone Number: ( )

Business Facsimile Number (if applicable): ( )

SECTION 2: TABLE INFORMATION

A) Number of Presently Authorized Permanent Tables:	
B) Number of Requested Additional Permanent Tables:	
C) Total Number of Proposed Tables: (Total Amount of A and B)	

SECTION 3: DECLARATION

I request approval to operate additional permanent tables, described in Section 2, at the gambling establishment described in Section 1.

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Signature of Owner Licensee:_____

Print Name:

Date: / /

Designated Contact for this Application

Telephone Number: ( )

APPLICATION FOR ADDITIONAL AUTHORIZED PERMANENT TABLES

Retain a photocopy of the complete application packet for your permanent records.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

The applicant is responsible for providing the appropriate information needed to determine eligibility for additional authorized permanent tables. If a question is not applicable, indicate with "N/A." If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application.

Items required for the application to be considered complete:

- Application for Additional Authorized Permanent Tables (BGC–027 (Rev. 04/13))
- A non-refundable $500 application fee
- A $400 Bureau review deposit, pursuant to California Code of Regulations, Title 11, Section 2037

SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Provide the legal name of the entity and any alternative names for the same business entity. You must notify the Bureau of any name, address or telephone number changes. Your information is used to provide proper identification of your file, to contact you, and/or to determine your eligibility. Personal information contained in the *Additional Authorized Permanent Tables* form, BGC–027, may be disclosed to the public in accordance with the Gambling Control Act (Business and Professions Code section 19821(b)).

SECTION 2: TABLE INFORMATION

Indicate the number of tables that the gambling establishment currently has and the number it is requesting.

Also provide the total number of tables that the gambling establishment wishes to operate.

Please note that all requests are subject to compliance with local ordinances and state gambling laws.

SECTION 3: DECLARATION

Sign and date the application under penalty of perjury. An application must be signed and dated to be considered complete. The designated contact person for this application must also be included, if applicable.

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR GAMBLING ESTABLISHMENT KEY EMPLOYEE LICENSE

BGC-031 (Rev. 10/17)

Pursuant to Business and Professions Code section 19854 of the Gambling Control Act, every key employee shall apply for and obtain a key employee license issued by the California Gambling Control Commission. A key employee license entitles the holder to work as a key employee in any key employee position at any gambling establishment.

Instructions:
Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). Applications not fully and accurately completed will be returned.

You must provide truthful information in all your responses in this application. All information provided and all answers to questions will be subject to verification. Any misrepresentation or failure to disclose information required on this application may constitute sufficient cause for denial or revocation.

Send the completed application package with required fees/deposits (listed below) to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024. Please make all checks payable to the **Bureau of** Gambling Control.

Applicant's Last Name	First Name	Middle Initial
Gambling Establishment (Cardroom) Name ☐Not currently employed by a gambling establishment		

Please check one box indicating if you are applying for an *initial* or *renewal* license.

☐ **INITIAL**

Application Fee: $ 750 Non-refundable

Background Deposit: $2,400

The unused portion of any background deposit will be refunded.

Attach the following to the application:
- ✓ A completed *Key Employee Supplemental Background Investigation Information, BGC-APP. 016A (Rev. 10/17)* form.
- ✓ One 2 X 2 inch color passport-style photograph taken no more than 30 days prior to the date of this application.

☐ **RENEWAL** **License Number:** _____

Application Fee: $ 750 Non-refundable

Background Deposit: No background deposit is required at time of application submission; however, you may be required to submit a background deposit upon notification by the Bureau of Gambling Control.

The unused portion of any background deposit will be refunded.

Attach the following to the application:
- ✓ One 2 X 2 inch color passport-style photograph taken no more than 30 days before submission to the Bureau.

SECTION 1 – APPLICANT INFORMATION

Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)

*Residence Address – Number/Street (See below for note) | Apt. / Unit Number

City | County | State | Zip Code

*Mailing Address, if different than above

Contact Numbers ☐ Cell ☐ Fax

Home: ( ) Work: ( ) Ext: Other:

Birthdate (mm/dd/yyyy) | Gender ☐ Male ☐ Female | **Social Security Number (See below for note)

SECTION 2 – JOB TITLE / DESCRIPTION

Job Title

Description of Job Duties

SECTION 3 - RENEWAL INFORMATION

Complete this section only if renewing your key employee license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.

1. Have you been a party to any civil litigation since you last filed an application for a Key Employee License?	☐ Yes ☐ No
2. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a Key Employee License application?	☐ Yes ☐ No
3. Have you been named in any administrative action affecting any license certification since you last filed an application for a Key Employee License?	☐ Yes ☐ No
4. Have you been convicted of any crime (misdemeanor or felony) since you last filed an application for a Key Employee License?	☐ Yes ☐ No

SECTION 4 – AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION

Complete this section only if you choose to designate someone to represent you concerning your application or other matters regarding licensure.

Last Name | First Name | Middle Initial

Relationship to Applicant: ☐ Attorney ☐ Other: | Business Name, if applicable

Mailing Address

Telephone Number ( ) | Fax Number ( ) | E-mail Address (if any)

SECTION 5 –DECLARATION / SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

Signature of Applicant in Full (no initials) | Date

* You must provide your residence address to the Bureau. Unless a separate mailing address is provided, the Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the Bureau's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).

** Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 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 verification of 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.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

NOTIFICATION OF CHANGE IN KEY EMPLOYEE EMPLOYMENT STATUS

BGC-033 (Rev. 10/17)

Pursuant to Business and Professions Code section 19854, a key employee license entitles the holder to work as a key employee in any key employee position at any gambling establishment. The submission of the information below to the Bureau of Gambling Control is required pursuant to Title 4 of the California Code of Regulations Section 12352.

Instructions: Type or print legibly, in ink, all information requested on this application. Applications not fully and accurately completed will be returned. Send the completed request to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024.

SECTION 1 – LICENSEE INFORMATION

Licensee's Last Name	First Name	Middle Initial

Residence Address	License Number

Mailing Address (*if different than above*)

SECTION 2 – EMPLOYMENT STATUS INFORMATION

1) Please mark the appropriate box below regarding your *current* employment status.

☐ I am not working as a key employee at this time.

☐ On _____ I accepted employment by _____.
Date — Name of Gambling Establishment

☐ I am also currently employed by _____.
Name(s) of Gambling Establishment(s)

Description of Job Duties *(For employment at new Gambling Establishment)*

_____

2) Please mark the appropriate box below regarding your *prior* employment status.

☐ My employment with _____ terminated on: _____.
Name of Gambling Establishment — Date

☐ I have not been working as a key employee since last submitting a notification.

SECTION 3 – DECLARATION / SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

Signature of Key Employee	Job Title	Date

To be completed by the current gambling enterprise employer representative (if applicable).

I declare that the above key employee has been offered a position under my employ and I have authorized his/her employment application.

Signature of Employer Representative	Printed Name

Title	Date

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

REQUEST FOR REPLACEMENT KEY EMPLOYEE LICENSE

BGC-034 (Rev. 10/17)

Pursuant to Business and Professions Code section 19854, every key employee shall apply for and obtain a key employee license. A request for a replacement key employee license shall be made to the Bureau of Gambling Control (Bureau) when a key employee license has been lost, stolen, damaged, or as needed to reflect a change of name. Upon submitting the information below, the Bureau will issue a replacement key employee license.

Instructions: Type or print legibly, in ink, all information requested on this application. Applications not fully and accurately completed will be returned.

Send the completed application to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024, and attach the following:

- ✓ Non-refundable application fee of $25.00
- ✓ 2 X 2 inch color passport-style photograph taken no more than 30 days prior to the date of this request.

SECTION 1 – LICENSEE INFORMATION

Licensee's Last Name	First Name	Middle Initial

Residence Address	License Number

Mailing Address (*if different than above*)

SECTION 2 – REPLACEMENT INFORMATION

I hereby request a replacement license because:

☐ My license was lost, stolen, or destroyed.

☐ I did not receive my license in the mail.

☐ My name has changed.
In order to process your request due to a name change you must include a copy of one of the following documents with this form that reflects your change of name:

- ❑ Marriage Certificate
- ❑ Certified Court Order
- ❑ Naturalization Certificate
- ❑ Final Dissolution Decree
- ❑ Notarized Statement Attesting to the Fact of the Name Change
- ❑ Other (explain):_____

☐ Other (explain): _____

SECTION 3 – DECLARATION / SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

_____ Signature of Licensee

_____ Date

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR INTERIM KEY EMPLOYEE LICENSE

BGC-035 (Rev. 07/17)

An individual, if holding a valid work permit for any gambling establishment, may immediately begin to work as an interim key employee provided that the individual meets the requirements and conditions pursuant to Title 4 of the California Code of Regulations Section 12354. The information below is required to be submitted to the Bureau of Gambling Control within 10 days of assuming key employee duties.

Instructions: Type or print legibly, in ink, all information requested on this application. Applications not fully and accurately completed will be returned.

Send the completed application to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024, and attach the following:

- ✓ Non-refundable application fee of $25.00.
- ✓ A copy of the applicant's valid work permit for any gambling establishment.
- ✓ A 2 X 2 inch color passport-style photograph taken no more than 30 days prior to the date of this application.

SECTION 1 – APPLICANT INFORMATION

Applicant's Last Name	First Name	Middle Initial
Residence Address		
Mailing Address (*if different than above*)		
Phone Number (optional)	Social Security Number*	

SECTION 2 – EMPLOYER INFORMATION

Name of Gambling Establishment	
Job Title	Date Key Employee Duties Were Assumed
Description of Duties	

SECTION 3 – DECLARATION / SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.

Signature of Applicant	Date

To be completed by the gambling enterprise employer representative.

I declare that the above applicant has been offered a key employee position under my employ and I have authorized his/her assumption of the key employee duties listed above.

Signature of Employer Representative	Title
Printed Name	Date

* Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 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 verification of 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.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

CHAPTER 6: INCORPORATED BY REFERENCE (REPEALED FORMS)

State of California

Department of Justice

REQUEST FOR LIVE SCAN SERVICE

BCII 8016 (3/07)

Applicant Submission

ORI: _____ Type of Application: _____

Code assigned by DOJ

Job Title or Type of License, Certification or Permit: _____

Agency Address Set Contributing Agency:

Agency authorized to receive criminal history information

Mail Code (five-digit code assigned by DOJ)

Street No. Street or PO Box

Contact Name (Mandatory for all school submissions)

City State Zip Code

( )

Contact Telephone No.

Name of Applicant: (Please print) Last First MI

Alias: Last First

Driver's License No:

Date of Birth: _____ Sex: ☐ Male ☐ Female

Misc. No. BIL - _____

Agency Billing Number

Height: _____ Weight: _____

Misc. Number:

Home Address:

Eye Color: _____ Hair Color: _____

Street No. Street or PO Box

Place of Birth: _____

City, State and Zip Code

Social Security Number:

Your Number:

OCA No. (Agency Identifying No.)

Level of Service: ☐ DOJ ☐ FBI

If resubmission, list Original ATI Number:

Employer: (Additional response for agencies specified by statute)

Employer Name

Street No. Street or PO Box

Mail Code (five digit code assigned by DOJ)

City State Zip Code

( )

Agency Telephone No. (optional)

Live Scan Transaction Completed By:

Name of Operator

Date

Transmitting Agency

ATI No.

Amount Collected/Billed

ORIGINAL – Live Scan Operator; SECOND COPY – Applicant; THIRD COPY (if needed) – Requesting Agency

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

Gambling Establishment Annual Fee Calculation

BGC-028 (Rev. 10/17)

Business and Professions (B&P) Code section 19951 establishes two fee schedules for Gambling Establishment owner-licensees to determine the amount of annual fees to be paid to the Bureau. The fee schedules are based on the gross revenues of the owner-licensee and the number of authorized tables at the close of the previous fiscal year.

Annual fees are to be submitted no later than 120 calendar days following the end of the owner-licensee's fiscal year **and in conjunction with the annual submission of financial statements. If the annual fee is not paid timely, the California Gambling Control Commission may, pursuant to B&P Code section 19955, order the temporary closure of the gambling establishment for up to 90 days. If the annual fee or any portion thereof remains unpaid 90 days after the due date, the gambling license shall be deemed surrendered. [See also, Title 4, California Code of Regulations, Section 12357.]**

You must provide truthful information in all of your responses on this form. Any misrepresentation or failure to disclose information requested on this form may constitute sufficient cause for denial or revocation of your state gambling license.

Instructions:

Type or print legibly, in ink, all information requested on this form. **Send the completed form and required annual fee to the Bureau of Gambling Control, P. O. Box 168024, Sacramento, CA 95816-8024.** Please make all checks payable to the Bureau of Gambling Control.

Gambling Establishment (Cardroom) Name:	
SECTION 1 – GAMBLING ACTIVITIES/REVENUE List the games offered and the gross revenue attributed to each game for the cardroom's prior fiscal year. Should you need additional space, attach a separate sheet of paper. If any section below does not apply, indicate N/A (not applicable).	
Fiscal Year Reporting: ____/____ (mm/yy) - ____/____ (mm/yy)	
A. Poker Style Games	**Revenue**
1)	**$**
2)	**$**
3)	**$**
4)	**$**
B. California Style Games	**Revenue**
1)	**$**
2)	**$**
3)	**$**
4)	**$**
C. Other Games	**Revenue**
1)	**$**
2)	**$**
3)	**$**
D. Tournament (Name)	**Revenue (Entry Fee)**
1)	**$**
2)	**$**

SECTION 1 – GAMBLING ACTIVITIES/REVENUE (Continued)	
E. Total Annual Interest Received from the Issuance of Credit:	**$**
TOTAL REVENUES LISTED ABOVE (A+B+C+D+E):	**$**

SECTION 2a – 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 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

SECTION 2b – ANNUAL FEE CALCULATION

Fee Per Table (Determined in Section 2a):	**$**
Multiply by Cardroom's Number of Authorized Tables:	**X**
TOTAL ANNUAL FEE TO BE SUBMITTED:	**$**

SECTION 3 – DECLARATION / SIGNATURE

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all attachments, corrections, changes and other alterations, is true, accurate, and complete.

Name of Individual Completing this form (*typed or printed*):	Title:
Signature:	Date:

State of California
Department of Justice
Bureau of Gambling Control
(916) 830-1700

APPLICATION FOR STATE GAMBLING LICENSE

BGC-030 (Rev. 10/17)

Pursuant to Business and Professions Code section 19850, every person who directly or indirectly receives any compensation, reward, percentage or share of money or property played in any controlled game in this state, shall apply for and obtain a state gambling license. A license certificate will be issued after the application for state gambling license is approved and will indicate the name of the "owner-licensee". All other applicants are considered "endorsed licensees" and will not receive a separate license certificate, but their names will be endorsed on the license issued to the owner of the gambling enterprise.

A completed license renewal application package and all renewal fees are due **no later than 120 days prior** to the license expiration date. [See Business and Professions Code section 19876(b)] Any application package received less than 110 days prior to the license expiration date shall be subject to a delinquency fee of **an additional $ 1000 for each application in the package**. [See Title 4, California Code of Regulations, Sections 12008(a)(2) and 12345(a).]

Instructions:
Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). Incomplete applications will be returned. You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your gambling license.

Send the completed application package with required fees/deposits (listed below) to: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024. Please make all checks payable to the Bureau of Gambling Control.

Name of Gambling Establishment (Cardroom):	Name of Applicant (Individual or Entity):

Please check one box indicating whether you are applying for an *initial* or *renewal* license.

☐ **INITIAL**

Application Fee: $ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee)

Background Deposit: $ 6600 (Owner-Licensee and Endorsed Licensee)
$ 1100 (Trust,* Trustee, and Trustor)
$ 1500 (Community Property Spouse)

Any unused portion of a background deposit will be refunded.

NOTE: Initial applicants must also attach a completed Supplemental Background Information form, as indicated below:

Gambling Establishment (Cardroom): Attach a Gambling Establishment Supplemental Information for State Gambling License, BGC-APP-015C (Rev. 07/17) form – *Owner-Licensee to submit on behalf of gambling establishment*

Individual Applicants: Attach a Gambling Establishment Owner Applicant – Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 07/17) form

Entity Applicants: Attach a Gambling Establishment Owner – Entity Supplemental Information for a State Gambling License, BGC-APP-015B (Rev. 07/17) form

*Trust Applicants: Attach a Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 07/17) form

** Contingent beneficiaries do not need to submit an application if benefits are contingent upon a specific future event or circumstance.*

☐ **RENEWAL**

Application Fee: $ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee)

Delinquent Application Fee: $ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee)

Background Deposit: $ 725 (Owner-Licensee) Other applicants may be responsible for background deposits upon notification from the Bureau of Gambling Control.

Any unused portion of a background deposit will be refunded.

SECTION 1 – TYPE OF APPLICATION (check one box)
Submit the information listed below with the required fees/deposits with your initial or renewal application.

☐ **Owner-Licensee**: The owner of the gambling enterprise for which the license certificate shall be issued

Sole Proprietors: Submit one application with all sections completed *except* 3a and 3b
All other Owner-Licensee Types, including Trusts (As indicated in section 3a): Complete all sections *except* 4

☐ **Endorsed Licensee**: Shall be endorsed on the gambling enterprise license certificate

Individual Applicants, including Trustors and Trustees (As indicated in section 4): Complete sections 4, 5(B), and 7
Entity Applicants, including Trusts (As indicated in section 3a): Complete sections 3, 5(B), and 7

SECTION 2a – GAMBLING ESTABLISHMENT (CARDROOM) INFORMATION
Attach a current organization chart for the gambling establishment (cardroom) that includes the owner licensee, all endorsed licensees, and all key employees.

Gambling Establishment (Cardroom) Name:

Street Address:

Mailing Address (If different than above):

Telephone Number:	Fax Number:	Website Address (If any):
( )	( )	

Hours of Operation:		MON	TUES	WED	THURS	FRI	SAT	SUN
☐ 24 hrs/365 days	Open							
☐ Hours as indicated:	Close							

SECTION 2b – EMPLOYEE WORK PERMIT CERTIFICATION (check one box)

I certify that all gambling enterprise employees (employees of this gambling establishment) have complied with Business and Professions Code section 19912 by either:

☐ Holding a valid gambling enterprise employee work permit issued in accordance with the applicable ordinance of the city or county in which his or her duties are performed, or,

☐ Holding a valid gambling enterprise employee work permit issued by the California Gambling Control Commission.

SECTION 3a – ENTITY STRUCTURE (check one box)
Attach a current organization chart for the entity indicating the names and titles of any officers, shareholders, partners, members, etc. that are associated with the entity.

☐ General Partnership	☐ Corporation:	☐ Trust:
☐ Limited Partnership	☐ Publicly Traded	☐ Revocable
☐ Joint Venture	☐ Private:	☐ Irrevocable
☐ Limited Liability Company	☐ Sub-Chapter S	
☐ Other: _____	☐ Sub-Chapter C	

SECTION 3b – ENTITY INFORMATION

Please provide the information below for the entity structure indicated in section 3a. Identify all individual officers (President, Secretary, Treasurer, and Chief Financial Officer), directors, shareholders, partners, members, etc., of the entity. For Trusts, identify the Trustor and any Trustees. For officers and directors of corporations with no ownership interest, enter 0% in the ownership column. If a section does not apply, write "N/A" (not applicable). If additional space is needed, please use separate sheets of paper.

Entity Name:

Street Address:

Telephone Number: ( )

Fax Number: ( )

Entity / Individual's Name	Title	Ownership / Membership Interest Percentage	Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.)
		%	
		%	
		%	
		%	
		%	
		%	

SECTION 4 – INDIVIDUAL APPLICANT INFORMATION

Indicate your association with the business. (Check all that apply)

- ☐ Sole Proprietor
- ☐ General Partner
- ☐ Limited Partner
- ☐ Shareholder
- ☐ Officer
- ☐ Director
- ☐ Landlord
- ☐ LLC Member
- ☐ Financial Interest Holder
- ☐ Community Property Interest
- ☐ Other: _____
- ☐ Trustor
- ☐ Trustee
- ☐ Current Beneficiary

Last Name: First Name: Middle Initial:

Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise):

* Residence Address – Number/Street (See page 4 for note): Apt. / Unit Number:

City: County: State: Zip Code:

*Mailing Address, if different than above:

Contact Numbers:
Home: ( ) Work: ( ) Cell: ( )

E-mail Address (if any):

Birthdate (mm/dd/yyyy):

Gender: ☐ Male ☐ Female

** Social Security Number (See page 4 for note):

SECTION 5– RENEWAL INFORMATION

Complete this section **only** if you are **renewing** your license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach it to the application.

A) Gambling Establishment:	
1. Have there been any changes affecting ownership or controlling interest in this gambling establishment since last filing a State Gambling License application?	☐ Yes ☐ No
2. Have there been any changes to the terms (financial or otherwise) of the gambling establishment's lease or a change of landlord since last filing a State Gambling License application?	☐ Yes ☐ No
B) Owner Licensee or Endorsed Licensee:	
1. Have you been a party to any civil litigation since last filing a State Gambling License application?	☐ Yes ☐ No
2. Have you been named in any administrative action affecting any license certification since last filing a State Gambling License application?	☐ Yes ☐ No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a State Gambling License application?	☐ Yes ☐ No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a State Gambling License application?	☐ Yes ☐ No
C) Complete the following *only* if renewing as a Trust:	
1. Have there been (a) any amendments to the trust document or (b) any changes to a beneficiary, trustee, or trust asset since last filing a State Gambling License application?	☐ Yes ☐ No

SECTION 6– AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION

Last Name:	First Name:	Middle Initial:
Relationship to Applicant: ☐ Owner ☐ Attorney ☐ Employee ☐ Other:_____	Business Name, if applicable:	
Mailing Address:		
Telephone Number: ( )	Fax Number: ( )	E-mail Address (if any):

SECTION 7 – DECLARATION / SIGNATURE

An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all attachments, corrections, changes and other alterations, is true, accurate, and complete.

Name of Individual Completing this Application (*typed or printed*):	Title:
Signature:	Date:

* You must provide your residence address to the Bureau. Unless a separate mailing address is provided, the Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the Bureau's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).

** Disclosure of your U.S. 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 verification of 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.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over $100,000 (Business and Professions Code section 494.5).

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

NOTICE TO APPLICANTS

AUTHORITY

The Gambling Control Act (Act), Business & Professions Code section 19800 et seq., and the Bureau of Gambling Control (Bureau) regulations, California Code of Regulations, Title 11, Division 3.

PURPOSE

To protect the public safety by ensuring that licensed gambling establishments are free from criminal and corruptive elements. The required information is used to determine the applicant's suitability to be associated with a gambling establishment.

BURDEN OF PROOF

The burden of proving his/her qualifications to receive any license is on the applicant.

DISCLOSURE OF INFORMATION

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, or failing to reveal any material facts, or providing misleading or untrue information as to a material fact.

WAIVER OF CLAIM FOR DAMAGES

An applicant accepts any risk of adverse action, financial loss, or public notice which may result from any action taken with respect to an application. By filing an application, an applicant expressly waives any claim for damages as a result of any action taken with respect to that application.

WITHDRAWAL OF AN APPLICATION

An application may not be withdrawn without the approval of the Commission.

PRIVACY NOTIFICATION

As required by the Act, the Commission shall maintain a file of all applications for licensure, together with a record of all action taken with respect to those applications. The file and record shall be open for public inspection. Certain confidential applicant information may be disclosed to local law enforcement or other governmental agencies. This is authorized by Business and Professions Code section 19821.

LICENSE FEES

Full payment of all fees for issuance or renewal of a gambling license shall be assessed against the gambling license issued to the owner of the gambling establishment. Such fees must be received by the Commission prior to the issuance of a license. Business & Professions Code section 19951 outlines the fee schedule.

FINGERPRINTS

A Request for Live Scan Service (electronic fingerprinting) form (BCII 8016 (Rev. 04/01)) is provided. Live Scan Service can only be conducted at a specified location on the attached list whereupon fingerprints will be processed via Live Scan. Contact the Live Scan facility to determine if an appointment for fingerprinting is required. Once you have been fingerprinted, return the second copy of the Request for Live Scan Service form to the Commission with your application package.

APPLICANT'S RESPONSIBILITY

It is the responsibility of each applicant to obtain copies of, and be familiar with, the laws and regulations governing the operation of gambling establishments in California.

As an applicant for a state gambling license, it is your responsibility to ensure that you thoroughly understand the questions in this application for licensure. 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.

DECLARATION OF FULL DISCLOSURE

I, _____, state that, except as has been reported in writing to the California Department of Justice, all of the following are true:

Applicant is or will be the sole beneficial owner of all financial interest in the gambling operation or any portion thereof, for which applicant is applying;

Any funds used or to be used, and any liabilities incurred or to be incurred by the applicant in the acquisition of any direct or indirect interest in a licensed gambling establishment or any portion thereof for which applicant seeks a determination by the California Department of Justice were not provided to applicant nor made available to applicant through the efforts of anyone not disclosed to the California Department of Justice;

No other person has provided collateral for or guaranteed payment of any loans made to applicant related to this application;

Applicant has no agreements or understandings with any other person or entity and no present intent to permit anyone to hold as agent, nominee, or otherwise any direct or indirect interest whatsoever in or to the licensed gambling establishment or any portion thereof for which applicant seeks a finding of suitability, license or permit;

Applicant has no agreements or understandings with any other person or entity to transfer at any future time any interest whatsoever in or to the gambling license being sought;

Applicant has no agreements or understandings with any other person or entity and no present intent to pay any sums of money or give anything of value as, including but without limitation, a finder's fee or commission to any person related to the acquisition of any direct or indirect interest whatsoever in or to the licensed gambling establishment or any portion thereof for which applicant seeks a finding of suitability, license or permit;

I declare under penalty of perjury under the laws of the State of California that the foregoing statements are all true and correct.

_____
Date

_____
Applicant Printed Name

_____
Name of Gambling Establishment

_____
Applicant Signature

_____
Address of Gambling Establishment

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL
(916) 830-1700

AUTHORIZATION TO RELEASE INFORMATION

1. I have applied for a license, registration, permit or other approval under the California Gambling Control Act, California Business & Professions Code sections 19800 et seq. I understand that under the Gambling Control Act, the Department of Justice is responsible for investigating applicants for licenses, registrations, permits, and approvals and reporting its findings to the California Gambling Control Commission, which acts on these applications. I understand that I am seeking the granting of a privilege and acknowledge that the burden of proving my qualifications for a favorable determination is at all times on me, the applicant. Under the circumstances specified in Business and Professions Code section 19828, "any communication or publication from, or concerning, an applicant, licensee, or registrant, in oral, written, or any other form, is absolutely privileged and so shall not form a basis for imposing liability for defamation or constitute a ground for recovery in any civil action." A complete copy of Business and Professions Code section 19828 is included on page 2 of this form.

2. I understand that by signing this authorization I am permitting the release of all records pertaining to me, including but not limited to financial (such as records from financial institutions, tax and credit agencies), employment, military, court, criminal, and other licensing records. Records from financial institutions include bank statements and account information such as number of accounts and account balances. Records from tax agencies include, for example, copies of federal tax returns.

3. I hereby authorize and request all persons, entities, and government agencies to whom this Authorization is presented, having information contained in, relating to, or concerning any of the records enumerated in paragraph 2, above, to furnish such information to a representative of the Department of Justice, Bureau of Gambling Control.

4. I hereby authorize and request all persons, entities, and government agencies to whom this request is presented, having documents contained in, relating to, or concerning any of the records enunciated in paragraph 2, above, to permit a representative of the Department of Justice, Bureau of Gambling Control to review and copy any such documents.

5. I hereby authorize a reproduction of this request to be treated for all intents and purposes as valid as the original.

Executed at _____ on the _____ day of _____, 20___.
City, State

This release form shall be valid for 12 months from the date of execution.

_____ _____
Applicant's Signature Print Name

Signature of Bureau of Gambling Control Representative presenting this request.

_____ _____
Signature Date Printed Name

California Business and Professions Code Section 19828:

19828. (a) Without limiting any privilege that is otherwise available under law, any communication or publication from, or concerning, an applicant, licensee, or registrant, in oral, written, or any other form, 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, under any of the following circumstances:

(1) It was made or published by an agent or employee of the department or commission in the proper discharge of official duties or in the course of any proceeding under this chapter.
(2) It was required to be made or published to the department or commission, or any of their agents or employees, by law, regulation, or subpoena of the department or the commission.
(3) It was, in good faith, made or published to the department or the commission for the purpose of causing, assisting, or aiding an investigation conducted pursuant to this chapter.

(b) If any document or communication provided to the department or the commission contains any information that is privileged pursuant to Division 8 (commencing with Section 900) of the Evidence Code, or any other provision of law, that privilege is not waived or lost because the document or communication is disclosed to the department or the commission or to any of their agents or employees.

(c) The department, the commission, and their agents and employees shall not release or disclose any information, documents, or communications provided by an applicant, licensee, or other person, that are privileged pursuant to Division 8 (commencing with Section 900) of the Evidence Code, or any other provision of law, without the prior written consent of the holder of the privilege, or pursuant to lawful court order after timely notice of the proceedings has been given to the holder of the privilege. An application to a court for an order requiring the department or the commission to release any information declared by law to be confidential shall be made only upon motion made in writing on not less than 10-business days' notice to the department or the commission, and to all persons who may be affected by the entry of the order.

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL
(916) 830-1700

APPOINTMENT OF DESIGNATED AGENT

Bureau of Gambling Control (Bureau) regulations, California Code of Regulations, Title 11, Division 3, Chapter 1, section 2030, allows an applicant or a licensee to designate a person(s) to serve as their agent(s). The designation shall specify the role and responsibility of the agent(s). The Bureau retains the right to exercise its discretion to disapprove, in whole or in part, such designation(s). The Chief has the authority to require a designated agent to be appointed, if it is determined that such a need exists. A separate form is required for each designation.

(Type or Print clearly in ink.)

1. Name of Owner Licensee/Applicant: _____
2. Type of Entity: ( ) Sole Proprietor ( ) General Partnership ( ) Limited Partnership ( ) Corporation
   ( ) Limited Liability Company (LLC) ( ) Joint Venture ( ) Other _____
3. Name of Gambling Establishment: _____
4. Address of Gambling Establishment: _____
5. Telephone Number: (_____) _____
6. Name of Designated Agent: _____
7. Relationship to Gambling Establishment: ( ) Owner Licensee ( ) Attorney ( ) Employee
   ( ) Other Specify: _____
8. Mailing Address: _____
9. Physical Address: _____
10. Telephone Number: (_____) _____
(During normal business hours)
11. Limit of Authority of Designated Agent: _____

The undersigned hereby appoints the above named person as the designated agent for all purposes in dealing with the Bureau except as noted above in item 11.

This authorization will remain in effect until such time as the Bureau receives written notification of withdrawal of an appointment and/or a subsequent approved Appointment of Designated Agent form.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Applicant/Licensee Printed Name*	Title
Applicant/Licensee Signature*	Date

* An Appointment of Designated Agent form must be signed by <u>each</u> of the following persons:

A) If applicant/licensee is a sole proprietor, by the owner.
B) If applicant/licensee is a general partnership, by all partners.
C) If applicant/licensee is a limited partnership, by the general partner.
D) If applicant/licensee is a corporation, LLC, or joint venture, by the highest ranking officer.

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL
(916) 830-1700

CARDROOM APPLICANT'S SPOUSE SUPPLEMENTAL INFORMATION FOR A STATE GAMBLING LICENSE

Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (not applicable). If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

PLEASE SEND THE COMPLETED SUPPLEMENTAL INFORMATION, ALONG WITH THE APPLICATION FOR A STATE GAMBLING LICENSE, A $1,000 NON-REFUNDABLE APPLICATION FEE, AND A $6,600 DEPOSIT TO PAY THE ANTICIPATED INVESTIGATION AND PROCESSING COSTS IN ACCORDANCE WITH BUSINESS AND PROFESSIONS CODE SECTION 19867 TO: California Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4231.

A. PERSONAL

1. Full Name: _____
   Last First Middle
2. Alias(es), Nicknames, Maiden Name, Other Name Changes, Legal or Otherwise: _____
   _____
3. Date of Birth: _____
4. Place of Birth: _____
   City County State Country
5. Residence Address: _____
   Street City State Zip
6. Business Address: _____
   Street City State Zip
7. Occupation: _____
8. Telephone: Residence: (_____) _____ Business: (_____) _____
9. Social Security Number*: _____
10. Driver License/Identification Card No./State Issued: _____
11. Eye Color: _____ Hair Color: _____ Weight: _____ Height: _____
12. Distinguishing marks (scars, tattoos, etc.). Describe and indicate location: _____
    _____
13. Gender: ☐ Male ☐ Female

AFFIX A PASSPORT QUALITY PHOTOGRAPH TAKEN WITHIN THE LAST 30 DAYS HERE

_____
Date of Photograph:

* Applicants are required to provide their social security number. This requirement is authorized by Business and Professions Code sections 19841 (a)(2), 19864(b)(6), and 19865. This information is used to obtain records relevant to the background investigation.

B. **CITIZENSHIP (provide a copy of resident alien card (front and back) or certificate of naturalization)**

Are you a United States citizen? ☐ Yes ☐ No If alien, **Alien** No.: _____

If naturalized, Certificate No.: _____

Alien No.: _____ Date naturalized: _____

C. **MARITAL**

1. Current Spouse Information:

Full Name: _____
Last First Middle Maiden

Date of Birth: _____ Place of Birth: _____

Date of Marriage: _____

2. Former Marriage(s):

Name of Former Spouse(s) (Last, First, Middle, Maiden)	Dates of Marriage (From-To)	Telephone Number

3. Co-habitants and Roommates

Provide the following information for any adults, not disclosed in question C1, with whom you reside.

Name (Last, First, Middle, Maiden)	Date of Birth	Employer/Occupation	Employer Address & Telephone	Relationship

D. **MILITARY (must include copy of DD214, if applicable)**

1. Have you **ever** served in any armed forces: ☐ Yes ☐ No

If Yes, Country Served: _____ Branch: _____

Dates of Service (From-To): _____ Type of Discharge: _____

Rank/Rating at Separation: _____ Serial Number: _____

2. While in the military service, were you **ever** convicted of any offense or formally disciplined? ☐ Yes ☐ No

If Yes, provide complete details: _____

_____

_____

E. **CONVICTION, LITIGATION, AND ARBITRATION**

1. Have you **ever** been convicted of a felony? (Convictions dismissed under Penal Code section 1203.4 must be disclosed unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.)
☐ Yes ☐ No

2. Have you **ever** engaged in any act involving dishonesty or moral turpitude charged or chargeable as a criminal offense?
☐ Yes ☐ No

3. Have you been convicted of a misdemeanor within the last 10 years? (Convictions dismissed under Penal Code section 1203.4 must be disclosed unless an order sealing records under Penal Code section 1203.45 relating to persons under 18 years of age, has been issued.) ☐ Yes ☐ No

4. Have you **ever** engaged in bookmaking or other illegal gambling activities? ☐ Yes ☐ No

Have you **ever** been charged with a violation of any campaign law(s)? ☐ Yes ☐ No

6. Are you currently on probation? ☐ Yes ☐ No

If your answer to E1-6 was Yes, provide the following details:

Date	Arresting Agency City & State	Original Charge	Final Charge (if amended or reduced)	Disposition

7. Has a criminal indictment, information, or complaint **ever** been returned against you which you have not included in E1-6?
☐ Yes ☐ No
If Yes, provide complete details: _____

8. Have you **ever** received a pardon for any criminal offense? ☐ Yes ☐ No
If Yes, provide complete details: _____

9. Have you **ever** had a civil or criminal record expunged or sealed by a court order? ☐ Yes ☐ No
If Yes, provide complete details: _____

10. Have you **ever** been subpoenaed to appear or testify before a county, state, or federal grand jury, government board or commission? ☐ Yes ☐ No
If Yes, provide complete details: _____

11. Have you, as an individual, member of a partnership, or shareholder, director, or officer of a corporation, been party to a lawsuit or arbitration within the last 10 years? ☐ Yes ☐ No

If your answer to E11 was Yes, provide the following details:

Name(s) of Plaintiff(s) & Defendant(s) Name(s) of Claimant(s) & Respondent(s)	Date Filed	State or Federal Court & Case Number	City, County & State	Disposition/Date
Brief Explanation of Issues:				
Brief Explanation of Issues:				
Brief Explanation of Issues:				
Brief Explanation of Issues:				

F. **LICENSING**

1. Have you **ever** applied with a local government agency for a permit, badge, or license to own, operate, or work in a gambling establishment ? ☐ Yes ☐ No

If your answer to F1 was Yes, provide the following details:

Government Agency	Type of Application	Permit/Badge/License Number	Approved/Denied	Dates Held or Reasons for Denial

2. Have you **ever** held a financial interest in a gambling venture, including, but not limited to: gambling establishment (cardroom), race track, race horse/dog, lottery, casino, bookmaking operation, pari-mutuel operation, or bingo parlor?
☐ Yes ☐ No

If your answer to F2 was Yes, provide the following details:

Name & Location of Business	Type of Venture	Dates of Involvement	Names of All Partners

3. Have you **ever** had a gambling registration, license, or related finding of suitability granted, denied, or revoked or been a participant in any group which has been issued a gambling registration, license, or related finding of suitability in any state or a permit, badge, or license to own, operate, or work in a gambling establishment? ☐ Yes ☐ No

If your answer to F3 was Yes, provide the following details:

Government Agency	Type of Application	Permit/Badge/License Number	Approved/Denied Revoked	Dates Held or Denied or Revoked

If denied or revoked, provide reasons for denial or revocation: _____

_____

4. Have you ever withdrawn or surrendered an application for a gambling registration, license, or related finding of suitability or been a participant in any group which has withdrawn or surrendered an application for a gambling registration, license, or related finding of suitability in any state? ☐ Yes ☐ No

If your answer to F4 was Yes, provide the following details:

Gambling Establishment Name & Address	Licensing Agency	Date & Reason(s) for Withdrawal

5. Do you have any relatives who are or have been associated with, employed in, or plan to be employed in the gambling industry? ☐ Yes ☐ No

If your answer to F5 was Yes, provide the following details:

Name	Job Title	Date	Name of Gambling Establishment

6. Have you ever applied for a privileged registration, professional license, certificate, or credential, (other than gambling) in any state, including, but not limited to, the following: ☐ Yes ☐ No

Alcoholic Beverage License	Lawyer	Race Horse/Dog Owner	Securities Dealer
Real Estate Broker or Sales	Doctor	Notary Public	Contractor
Accountant (CPA)	Boxing Promoter	Trainer or Manager	Pilot

If your answer to F6 was Yes, provide the following details:

Type of License	Licensing Agency	License Number	Approved/Denied	Dates Held or Reasons for Denial

7. Have any disciplinary actions ever been taken, or are any actions pending, against the aforementioned registration(s), license(s), and/or certificate(s)? ☐ Yes ☐ No

If your answer to F7 was Yes, provide details here:

Licensing Agency	License Number	Date of Action	Nature of Action (e.g., revocation, denial)	Disposition (e.g., revoked, fined, probation)

DECLARATION

I, _____, declare that I have read the foregoing Spouse Supplemental Information for a State Gambling License and know the contents thereof; that the statements contained herein are true and correct and contain a full and true account of the information requested; that I executed this declaration with the knowledge that misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial of an application or revocation of a state gambling license, finding or permit; and further, that I have familiarized myself with the contents of the California Gambling Control Act (Business and Professions Code section 19800 et seq.), and the Regulations of the California Gambling Control Commission (California Code of Regulations, Title 4) and the Regulations of the Bureau of Gambling Control (California Code of Regulations, Title 11) as adopted and agree to abide thereby.

I expressly waive, release, and forever discharge the State of California and its agents from any and all manner of action and causes of action whatsoever which I, my administrators or executors, can, shall, or may have against the State of California and its agents, relating to this Spouse Supplemental Information for a State Gambling License.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true, correct, and complete.

Date:_____, 20_____

_____
Printed Name

_____
Signature

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL

INSTRUCTIONS TO APPLICANT'S SPOUSE

The following forms and documentation must be submitted to the California Gambling Control Commission (Commission), as applicable, in conjunction with the submission of your spouse's application for a state gambling license as an owner. Originals are required unless otherwise stated. Any corrections, changes or other alterations must be initialed and dated by the applicant.
Review the following definitions to determine which best describes your interest in the gambling establishment. You are required to provide all forms, documents, and fees marked with an "X" under the applicable definition number on the table below.

DEFINITION 1: You are the spouse of an applicant, and your sole interest in the gambling establishment is your community property ownership interest. You will exercise no influence or control over the gambling operation and/or will not be involved in the management of the gambling operation.

DEFINITION 2: You are a spouse of an applicant whose ownership interest is his or her sole and separate property. You will exercise no influence or control over the gambling operation and/or will not be involved in the management of the gambling operation.

DEFINITION 3: You are the spouse of an applicant, and your sole interest in the gambling establishment is your community property ownership interest. You may exercise influence or control over the gambling operation and/or be involved in the management of the gambling operation. If this definition applies to you, complete the Application for State Gambling License form, BGC-030 (Rev. 04/13) and Gambling Establishment Owner Applicant-Individual Supplemental Background Investigation Information form BGC-APP-015A (Rev. 07/17).

DEFINITION 4: You are a spouse of an applicant whose ownership interest is his or her sole and separate property. You may exercise influence or control over the gambling operation and/or may be involved in the management of the gambling operation. If this definition applies to you, complete the Application for Gambling Establishment Key Employee License form CGCC-031 (Rev. 04/08) and Gambling Establishment Key Employee Supplemental Background Investigation Information form BGC-APP-016A (Rev. 04/08).

Forms/Documentation	DEFINITION 1	DEFINITION 2	DEFINITION 3	DEFINITION 4
Cardroom Applicant's Spouse Supplemental Information for a State Gambling License (BGC-APP-009A [Rev. 07/17])	X		REFER TO DEF. 3	REFER TO DEF. 4
Spouse's Declaration, Acknowledgment, and Agreement (Community Property Interest) (BGC-APP-013 [Rev.-11/07])*	X			
Spouse's Declaration, Acknowledgment, and Agreement (Sole and Separate Property) (BGC-APP-014 [Rev. 11/07])**		X		
Declaration of Full Disclosure (BGC-APP-005 [Rev. 11/07])	X			
Authorization to Release Information (BGC-APP-006 [Rev. 07/17])	X			
Request for Live Scan Service (BCII 8016 [Rev. 04-01])	X			

Each applicant must submit a background investigation deposit that, in the judgment of the Director of the Bureau of Gambling Control (Bureau), will be adequate to pay the anticipated investigation and processing costs, in accordance with Business and Professions Code section 19867. An applicant is responsible for all costs incurred by the Bureau while conducting 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 to the applicant. A license will not be issued until all outstanding background investigation and issuance fees are received.

* This form should be completed and returned along with the "Applicant's Declaration, Acknowledgment, and Agreement (Community Property Interest) (BGC-APP-011 [Rev. 11/07])."

** This form should be completed and returned along with the "Applicant's Declaration, Acknowledgment, and Agreement (Sole and Separate Property) (BGC-APP-012 [Rev. 11/07])."

APPLICANT'S DECLARATION, ACKNOWLEDGMENT AND AGREEMENT

(Community Property Interest)

I, _____, hereby declare that:
(print owner applicant's full name)

I am married to _____.
(print spouse's full name)

I am an applicant for a state gambling license as an owner of a gambling establishment known as _____, which is located
(print name of the gambling establishment)

at _____, in _____, California.
(print address of gambling establishment) (print name of city)

Response Required:

- My spouse **is** or **is not (circle one)** involved, directly or indirectly, with any management decisions, of any nature whatsoever, regarding the above-referenced gambling establishment.

- My spouse **does** or **does not (circle one)** have any direct or indirect authority or influence in the decision-making process relating to any activities in the above-referenced gambling establishment.

- My spouse **is** or **is not (circle one)** engaged in any conduct for which my spouse could be required to obtain a registration, a finding of suitability, a permit, or a license, pursuant to Business and Professions Code sections 19850, 19851, 19853, 19854 and/or 19912, for the above-referenced gambling establishment.

I understand, and agree, that my spouse cannot lawfully engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq. I understand, and agree, that the California Gambling Control Commission (Commission) may, in its sole discretion, require my spouse to make a full and complete application. I understand, and agree, that should my spouse engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq., without first obtaining any required registration, finding of suitability, permit or license, then both my license and my spouse's license for the above-referenced gambling establishment may be revoked.

I understand, and agree, that if any statement in this Declaration, Acknowledgment and Agreement is false, that fact may be used as grounds for the denial, or subsequent revocation, of my license and my spouse's license for the above-referenced gambling establishment.

I understand, and agree, that the Commission's decision to grant my spouse a license as an uninvolved spouse of an owner applicant does not excuse my spouse from having to make a full and complete application for a license if my spouse is directed to do so by the Commission.

I understand, and agree, that the Commission's decision to grant my spouse a license as an uninvolved spouse of an owner applicant does not entitle my spouse to the issuance of any license if my spouse is ever required by the Commission to make a full and complete application for a license.

DECLARATION

I, _____, certify and declare under penalty of perjury under the laws of the State of California, that I am the person named on this Applicant's Declaration, Acknowledgment and Agreement and that to the best of my knowledge, the information contained herein is true and correct.

_____
Date

_____ _____
Printed Name Signature

APPLICANT'S DECLARATION, ACKNOWLEDGMENT AND AGREEMENT

(Sole and Separate Property)

I, _____, hereby declare that:
(print owner applicant's full name)

I am married to _____.
(print spouse's full name)

I am an applicant for a state gambling license as an owner of a gambling establishment known

as _____, which is located
(print name of the gambling establishment)

at _____, in _____, California.
(print address of gambling establishment) (print name of city)

Response Required:

- I am the exclusive and absolute owner of that gambling establishment. It is my sole and separate property. My spouse **does** or **does not (circle one)** have any ownership interest whatsoever in that gambling establishment, including, but not limited to, a community property interest.
- My spouse **is** or **is not (circle one)** involved, directly or indirectly, with any management decisions, of any nature whatsoever, regarding that gambling establishment.
- My spouse **does** or **does not (circle one)** have any direct or indirect authority or influence in the decision-making process relating to any activities in that gambling establishment.
- My spouse **is** or **is not (circle one)** engaged in any conduct for which my spouse could be required to obtain a registration, a finding of suitability, a permit, or a license, pursuant to Business and Professions Code sections 19850, 19851, 19853, 19854 and/or 19912, for that gambling establishment.

I understand, and agree, that my spouse cannot lawfully engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq., without first obtaining from the California Gambling Control Commission the appropriate registration, finding of suitability, permit, or a license.

I understand, and agree, that should my spouse engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq., without first obtaining the appropriate registration, finding of suitability, permit, or license, then my license for the above-referenced gambling establishment may be revoked.

I understand, and agree, that if any statement in this Declaration, Acknowledgment and Agreement is false, that fact may be used as grounds for the denial, or subsequent revocation, of my license for the above-referenced gambling establishment.

DECLARATION

I, _____, certify and declare under penalty of perjury under the laws of the State of California, that I am the person named on this Applicant's Declaration, Acknowledgment and Agreement and that to the best of my knowledge, the information contained herein is true and correct.

_____
Date

_____ _____
Printed Name Signature

SPOUSE'S DECLARATION, ACKNOWLEDGMENT AND AGREEMENT

(Community Property Interest)

I, _____, hereby declare that:
(print full name of spouse of owner applicant)

I am married to _____.
(print owner applicant's full name)

My spouse is an applicant for a state gambling license as an owner of a gambling establishment

known as _____, which is located
(print name of the gambling establishment)

at _____, in _____, California.
(print address of gambling establishment) (print name of city)

Response Required:

- I **am** or **am not** **(circle one)** involved, directly or indirectly, with any management decisions, of any nature whatsoever, regarding the above-referenced gambling establishment.
- I **do** or **do not** **(circle one)** have any direct or indirect authority or influence in the decision-making process relating to any activities in the above-referenced gambling establishment.
- I **am** or **am not** **(circle one)** engaged in any conduct for which I could be required to obtain a registration, a finding of suitability, a permit, or a license, pursuant to Business and Professions Code sections 19850, 19851, 19853, 19854 and/or 19912, for the above-referenced gambling establishment, other than as an uninvolved spouse of an owner applicant.

I understand, and agree, that I cannot lawfully engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq. I understand, and agree, that the California Gambling Control Commission, may, in its sole discretion, require me to make a full and complete application.

I understand, and agree, that should my spouse engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq., without first obtaining the written permission of the Commission, then both my license and my spouse's license for the above-referenced gambling establishment may be revoked.

I understand, and agree, that if any statement in this Declaration, Acknowledgment and Agreement is false, that fact may be used as grounds for the denial, or subsequent revocation, of my license and my spouse's license for the above-referenced gambling establishment.

I understand, and agree, that the Commission's decision to grant me a license as an uninvolved spouse of an owner applicant does not excuse me from having to make a full and complete application for a license if I am directed to do so by the Commission.

I understand, and agree, that the Commission's decision to grant me a license as an uninvolved spouse of an owner applicant does not entitle me to the issuance of any license if I am ever required by the Commission to make a full and complete application for a license.

DECLARATION

I, _____, certify and declare under penalty of perjury under the laws of the State of California, that I am the person named on this Spouse's Declaration, Acknowledgment and Agreement, and that to the best of my knowledge, the information contained herein is true and correct.

_____
Date

_____ _____
Printed Name Signature

SPOUSE'S DECLARATION, ACKNOWLEDGMENT AND AGREEMENT

(Sole and Separate Property)

I, _____, hereby declare that:
(print full name of spouse of owner applicant)

I am married to _____.
(print owner applicant's full name)

My spouse is an applicant for a state gambling license as an owner of a gambling establishment known as, _____ which is located
(print name of the gambling establishment)

at _____, in _____, California.
(print address of gambling establishment) (print name of city)

Response Required:

- My spouse is the exclusive and absolute owner of that gambling establishment. It is my spouse's sole and separate property. I **do** or **do not** **(circle one)** have any ownership interest whatsoever in that gambling establishment, including, but not limited to, a community property interest.
- I **am** or **am not** **(circle one)** involved, directly or indirectly, with any management decisions, of any nature whatsoever, regarding that gambling establishment.
- I **do** or **do not** **(circle one)** have any direct or indirect authority or influence in the decision-making process relating to any activities in that gambling establishment.

I am not engaged in any conduct for which I could be required to obtain a registration, a finding of suitability, a permit, or a license, pursuant to Business and Professions Code sections 19850, 19851, 19853, 19854, and/or 19912, for that gambling establishment.

I understand, and agree, that I cannot lawfully engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq., without first obtaining from the California Gambling Control Commission the appropriate registration, finding of suitability, permit, or a license.

I understand, and agree, that should I engage in any activities or conduct for which a registration, a finding of suitability, a permit, or a license is, or may be, required pursuant to the Gambling Control Act, Business and Professions Code sections 19800, et seq., without first obtaining the appropriate registration, finding of suitability, permit, or license, then my spouse's license for the above-referenced gambling establishment may be revoked.

I understand, and agree, that if any statement in this Declaration, Acknowledgment and Agreement is false, that fact may be used as grounds for the denial, or subsequent revocation, of my spouse's license for the above-referenced gambling establishment; and may be used as grounds for the denial of any future application for a registration, a finding of suitability, a permit, or a license I may submit.

DECLARATION

I, _____, certify and declare under penalty of perjury under the laws of the State of California, that I am the person named on this Spouse's Declaration, Acknowledgment and Agreement and that to the best of my knowledge, the information contained herein is true and correct.

_____
Date

_____ _____
Printed Name Signature

State of California

DEPARTMENT OF JUSTICE

Gambling Establishment Owner Applicant – Individual Supplemental Background Investigation Information

BGC-APP-015A (Rev. 07/17)

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (Not Applicable). If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any information as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

This Supplemental Form must be completed by a natural person who is a sole proprietor, a person with individual partnership interest or individual corporate interest, shareholder, member, officer, director, trustor, trustee, current beneficiary, landlord with a financial interest in the gambling establishment, community property interest, funding source, and other applicant.

_____
Applicant's Full Name

_____
Date of Photograph

Affix a passport quality photograph taken within the last 30 days here.

SECTION 1: PERSONAL INFORMATION

YOUR FULL NAME

LAST | FIRST | MIDDLE

RESIDENCE ADDRESS (NUMBER / STREET)	CITY	STATE	ZIP
MAILING ADDRESS (IF DIFFERENT) (NUMBER / STREET)	CITY	STATE	ZIP

OCCUPATION	TELEPHONE

BIRTH PLACE (CITY / COUNTY / STATE / COUNTRY)	DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER NO. STATE EXP

PHYSICAL DESCRIPTION

HEIGHT | WEIGHT | HAIR COLOR | EYE COLOR

DISTINGUISHING MARKS (SCARS, TATTOOS, ETC.) DESCRIBE AND INDICATE LOCATION

ARE YOU A UNITED STATES CITIZEN..... ☐ YES ☐ NO **IF NO, PROVIDE A COPY OF YOUR RESIDENT ALIEN CARD (FRONT AND BACK)**	IF NO, OF WHAT COUNTRY ARE YOU A CITIZEN?
ALIEN REGISTRATION NUMBER	IF NATURALIZED, CERTIFICATE NUMBER (**PROVIDE COPY OF NATURALIZATION CERTIFICATE**)
DATE NATURALIZED (MM/DD/YYYY)	PLACE

SECTION 2: FAMILY INFORMATION

☐ SINGLE ☐ MARRIED ☐ SEPARATED ☐ DIVORCED ☐ WIDOWED

CURRENT SPOUSE

FULL NAME

LAST | FIRST | MIDDLE | MAIDEN

RESIDENCE ADDRESS (IF DIFFERENT FROM APPLICANT) NUMBER / STREET	CITY	STATE	ZIP

DATE OF BIRTH	YEARS OF MARRIAGE	HOME PHONE	WORK PHONE

☐ N/A FORMER SPOUSE

FULL NAME

LAST | FIRST | MIDDLE | MAIDEN

DATE OF BIRTH | YEARS OF MARRIAGE

CHILDREN AND DEPENDENTS

PROVIDE THE FOLLOWING INFORMATION FOR EACH OF YOUR CHILDREN (INCLUDING BIRTH, STEP, ADOPTED, AND FOSTER CHILDREN) AND OTHER DEPENDENTS.

NAME (LAST, FIRST, MIDDLE, MAIDEN)	DATE OF BIRTH	RESIDENCE ADDRESS	RELATIONSHIP	OCCUPATION

CO-HABITANTS AND ROOMMATES
PROVIDE THE FOLLOWING INFORMATION FOR ANY ADULTS (NOT DISCLOSED AS CHILDREN AND DEPENDENTS ABOVE) WITH WHOM YOU RESIDE.

NAME (LAST, FIRST, MIDDLE, MAIDEN)	DATE OF BIRTH	EMPLOYER/OCCUPATION	EMPLOYER ADDRESS & TELEPHONE	RELATIONSHIP

PARENTS AND STEP-PARENTS
PROVIDE THE FOLLOWING INFORMATION FOR YOUR PARENTS AND STEP-PARENT'S. IF RETIRED, LIST LAST OCCUPATION OR IF DECEASED, PROVIDE DATE OF DEATH AND LIST LAST ADDRESS AND OCCUPATION.

NAME (LAST, FIRST, MIDDLE, MAIDEN)	DATE OF BIRTH/DEATH	RESIDENCE ADDRESS	OCCUPATION	RELATIONSHIP
FATHER				
MOTHER				
STEP-FATHER				
STEP-MOTHER				

SIBLINGS
PROVIDE THE FOLLOWING INFORMATION FOR YOUR BROTHERS AND SISTERS. IF RETIRED, LIST LAST OCCUPATION OR IF DECEASED, PROVIDE DATE OF DEATH AND LIST LAST ADDRESS AND OCCUPATION.

NAME (LAST, FIRST, MIDDLE, MAIDEN)	DATE OF BIRTH/DEATH	RESIDENCE ADDRESS	OCCUPATION	RELATIONSHIP

SECTION 3: MILITARY EXPERIENCE

HAVE YOU EVER SERVED IN ANY BRANCH OF THE U.S. ARMED FORCES? ..... ☐ YES ☐ NO
IF YES, ATTACH A COPY OF YOUR DD-214

BRANCH OF SERVICE

DATES OF SERVICE
FROM TO

COUNTRY OF SERVICE RANK AT SEPARATION

SERVICE NUMBER

TYPE OF DISCHARGE: ☐ ENTRY LEVEL ☐ HONORABLE ☐ GENERAL ☐ OTHER THAN HONORABLE ☐ BAD CONDUCT ☐ DISHONORABLE

HAVE YOU EVER BEEN DISCIPLINED WHILE IN THE MILITARY ..... ☐ YES ☐ NO
DID THIS RESULT IN A COURT MARTIAL? IF YES, PROVIDE DETAILS BELOW. ..... ☐ YES ☐ NO

DATE (MM/YYYY)	FINAL CHARGE	COURT LOCATION (CITY & STATE)

SECTION 4: RESIDENCES

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.

A) CURRENT ADDRESS (NUMBER / STREET / APT)				FROM (MM/YYYY)	TO (MM/YYYY)
CITY	COUNTY		STATE	ZIP	☐ RENT ☐ OWN
B) FORMER ADDRESS (NUMBER / STREET / APT)				FROM (MM/YYYY)	TO (MM/YYYY)
CITY	COUNTY		STATE	ZIP	☐ RENT ☐ OWN
C) FORMER ADDRESS (NUMBER / STREET / APT)				FROM (MM/YYYY)	TO (MM/YYYY)
CITY	COUNTY		STATE	ZIP	☐ RENT ☐ OWN

SECTION 5: EXPERIENCE AND EMPLOYMENT

BEGINNING WITH YOUR MOST CURRENT EMPLOYMENT, LIST YOUR WORK HISTORY, INCLUDING ALL PERIODS OF UNEMPLOYMENT FOR THE PAST 10 YEARS. LIST ALL JOBS YOU HAVE HAD, INCLUDING PART-TIME, TEMPORARY, SELF-EMPLOYMENT, AND VOLUNTEER ACTIVITIES. FOR PERIODS OF UNEMPLOYMENT, IN THE DUTIES/ASSIGNMENT SECTION, EXPLAIN HOW YOU SUPPORTED YOURSELF.

A) NAME OF EMPLOYER				FROM (MM/YYYY)	TO MM/YYYY)
ADDRESS (NUMBER / STREET)				SUPERVISOR	
CITY		STATE	ZIP	CONTACT NUMBER ( )	EXT
JOB TITLE	REASON FOR LEAVING			GAMBLING RELATED? ☐ YES ☐ NO	
DUTIES / ASSIGNMENTS					
B) NAME OF EMPLOYER				FROM (MM/YYYY)	TO (MM/YYYY)
ADDRESS (NUMBER / STREET)				SUPERVISOR	
CITY		STATE	ZIP	CONTACT NUMBER ( )	EXT
JOB TITLE	REASON FOR LEAVING			GAMBLING RELATED? ☐ YES ☐ NO	
DUTIES / ASSIGNMENTS					
C) NAME OF EMPLOYER				FROM (MM/YYYY)	TO (MM/YYYY)
ADDRESS (NUMBER / STREET)				SUPERVISOR	
CITY		STATE	ZIP	CONTACT NUMBER ( )	EXT
JOB TITLE	REASON FOR LEAVING			GAMBLING RELATED? ☐ YES ☐ NO	
DUTIES / ASSIGNMENTS					

SECTION 6: CONVICTIONS, LITIGATION AND ARBITRATION

HAVE YOU **EVER** BEEN CONVICTED OF A CRIME, PLED GUILTY OR PLED NOLO CONTENDERE (NO CONTEST) TO A CRIME? INCLUDE ANY CONVICTIONS DISMISSED UNDER PENAL CODE SECTION 1203.4 AND CONVICTIONS REDUCED OR EXPUNGED, **UNLESS** THE RECORDS HAVE BEEN SEALED PURSUANT TO A COURT ORDER.	☐ YES ☐ NO

A) APPROXIMATE DATE (MM/DD/YYYY)	COURT LOCATION (CITY & STATE) AND ARRESTING AGENCY (CITY & STATE)
OF WHAT CRIME(S) WERE YOU CONVICTED, AND WHAT WAS THE FINAL DISPOSITION/JUDGEMENT IN THE CASE?	

B) APPROXIMATE DATE (MM/DD/YYYY)	COURT LOCATION (CITY & STATE) AND ARRESTING AGENCY (CITY & STATE)
OF WHAT CRIME(S) WERE YOU CONVICTED, AND WHAT WAS THE FINAL DISPOSITION/JUDGEMENT IN THE CASE?	

HAVE YOU EVER ENGAGED IN BOOKMAKING OR OTHER ILLEGAL GAMBLING ACTIVITIES?	☐ YES ☐ NO
HAVE YOU **EVER** BEEN FOUND GUILTY (CRIMINAL OR ADMINISTRATIVE) OF VIOLATING ANY CAMPAIGN LAW(S)?	☐ YES ☐ NO

IF YES TO EITHER OR THE ABOVE, EXPLAIN EACH INCIDENT.

HAVE YOU, AS AN INDIVIDUAL, MEMBER OF A PARTNERSHIP, OR SHAREHOLDER, DIRECTOR, OR OFFICER OF A CORPORATION, BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?	☐ YES ☐ NO

IF YES, PLEASE PROVIDE DETAILS BELOW.

A) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)		
DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION

B) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)		
DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION

C) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)		
DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION

SECTION 7: OTHER LICENSING INFORMATION

HAVE YOU EVER HELD OR APPLIED FOR A PERMIT, LICENSE, CERTIFICATE, REGISTRATION OR AUTHORIZATION RELATED TO GAMING?..... ☐ YES ☐ NO

IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL, STATE, LOCAL OR INTERNATIONAL) TO WHICH YOU HAVE APPLIED FOR A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION RELATED TO GAMING ACTIVITIES OR LOTTERY, WHETHER OR NOT SUCH LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION WAS GRANTED (INCLUDE ANY APPLICATIONS THAT WERE WITHDRAWN, DENIED AND/OR ARE PENDING).

A) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION#	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
B) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
C) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	

HAVE YOU EVER APPLIED TO ANY LICENSING OR REGULATORY AGENCY FOR A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION NOT RELATED TO GAMING, WHETHER OR NOT SUCH A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION WAS GRANTED? ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS (INCLUDE ANY APPLICATIONS THAT WERE WITHDRAWN, DENIED AND/OR ARE PENDING).

A) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
B) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
C) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	

SECTION 8: GAMBLING VENTURE FINANCIAL INTEREST

HAVE YOU EVER HELD A FINANCIAL INTEREST IN A GAMBLING VENTURE, INCLUDING, BUT NOT LIMITED TO: A GAMBLING ESTABLISHMENT (CARDROOM), RACE TRACK, RACE HORSE/DOG, LOTTERY, CASINO, BOOKMAKING OPERATION, PARI-MUTUEL OPERATION, OR BINGO PARLOR OR HELD STOCK IN SUCH VENTURE? ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS:

NAME OF BUSINESS	LOCATION OF BUSINESS	DATES OF INVOLVEMENT (MM/YYYY) FROM: TO:
INTEREST/TYPE OF VENTURE	NAMES OF ALL PARTNERS	
NAME OF BUSINESS	LOCATION OF BUSINESS	DATES OF INVOLVEMENT (MM/YYYY) FROM: TO:
INTEREST/TYPE OF VENTURE	NAMES OF ALL PARTNERS	

SECTION 9: BUSINESS INTEREST

LIST ALL BUSINESSES, CORPORATIONS AND PARTNERSHIPS WITH WHICH YOU ARE CURRENTLY OR HAVE BEEN ASSOCIATED AS AN OWNER, OFFICER, DIRECTOR, ACTIVE SHAREHOLDER, PARTNER OR OTHER SIMILAR CAPACITY WITHIN THE PAST 10 YEARS.

A) NAME OF BUSINESS/CORPORATION/PARTNERSHIP	DATES OF INVOLVEMENT FROM	TO	BUSINESS/CORPORATION/PARTNERSHIP MAILING ADDRESS	
BUSINESS TELEPHONE NUMBER				
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF THE BUSINESS	AMOUNT OF INVESTMENT	% OF OWNERSHIP/# OF SHARES OWNED	GAMBLING RELATED? ☐ YES ☐ NO

B) NAME OF BUSINESS/CORPORATION/PARTNERSHIP	DATES OF INVOLVEMENT FROM	TO	BUSINESS/CORPORATION/PARTNERSHIP MAILING ADDRESS	
BUSINESS TELEPHONE NUMBER				
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF THE BUSINESS	AMOUNT OF INVESTMENT	% OF OWNERSHIP/# OF SHARES OWNED	GAMBLING RELATED? ☐ YES ☐ NO

C) NAME OF BUSINESS/CORPORATION/PARTNERSHIP	DATES OF INVOLVEMENT FROM	TO	BUSINESS/CORPORATION/PARTNERSHIP MAILING ADDRESS	
BUSINESS TELEPHONE NUMBER				
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF THE BUSINESS	AMOUNT OF INVESTMENT	% OF OWNERSHIP/# OF SHARES OWNED	GAMBLING RELATED? ☐ YES ☐ NO

SECTION 10: PERSONAL FINANCIAL HISTORY

DO YOU ANTICIPATE ACTIVE PARTICIPATION IN THE MANAGEMENT AND OPERATION OF THE GAMBLING ESTABLISHMENT?..... ☐ YES ☐ NO

IF YES, EXPLAIN BELOW.

IN WHAT CAPACITY WILL YOU PARTICIPATE IN THE MANAGEMENT AND OPERATION OF THE GAMBLING ESTABLISHMENT?

AMOUNT INVESTED IN THE BUSINESS:	$	PERCENTAGE OF OWNERSHIP:	%

IDENTIFY THE SOURCE OF ALL MONIES USED FOR YOUR INVESTMENT, INCLUDE ACCOUNT NUMBERS AND INSTITUTION NAMES IF APPLICABLE:

HAS YOUR INTEREST IN THIS GAMBLING ESTABLISHMENT 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 PART OR IN WHOLE? ☐ YES ☐ NO

IF YES, EXPLAIN BELOW.

HAVE YOU FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS?..... ☐ YES ☐ NO

IF YES, EXPLAIN BELOW. **(Please provide copies of your bankruptcy petition and order, which lists all creditors and discharged debts.)**

FEDERAL DISTRICT COURT WHERE FILED	DATE FILED (MM/DD/YYYY)	CASE NUMBER	DATE DISCHARGED (MM/DD/YYYY)	DESCRIBE THE CIRCUMSTANCES THAT RESULTED IN THIS ACTION

HAVE YOU HAD ANY JUDGEMENTS OR LIENS FILED AGAINST YOU AS AN INDIVIDUAL, SOLE PROPRIETOR, MEMBER OF A PARTNERSHIP, OR SHAREHOLDER OF A CORPORATION? ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

☐ LIEN ☐ JUDGEMENT	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT ***FILED*** THE LIEN OR JUDGEMENT	NAME OF PERSON/ENTITY ***AGAINST WHICH*** THE LIEN OR JUDGEMENT WAS FILED

EXPLANATION AND STATUS

☐ LIEN ☐ JUDGEMENT	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT ***FILED*** THE LIEN OR JUDGEMENT	NAME OF PERSON/ENTITY ***AGAINST WHICH*** THE LIEN OR JUDGEMENT WAS FILED
EXPLANATION AND STATUS			

HAVE YOU HAD ANY PURCHASE REPOSSESSED OR DEBT TURNED OVER TO COLLECTION FOR ANY REASON WITHIN THE LAST 10 YEARS? ..... ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

ASSET	REPOSSESSION/SEIZURE/COLLECTION	DATE (MM/DD/YYYY)	REASON

DO YOU OWN, CONTROL, OR MANAGE ANY ASSETS OR LIABILITIES OUTSIDE THE UNITED STATES?..... ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

DESCRIPTION OF ASSET/LIABILITY	DATE ACQUIRED (MM/DD/YYYY)	LOCATION

DO YOU OWN, CONTROL, MANAGE OR HOLD ANY ASSETS OR LIABILITIES FOR ANOTHER PERSON OR ENTITY?..... ☐ YES ☐ NO

IF YES, PROVIDE COMPLETE DETAILS HERE.

IS YOUR INTEREST IN THIS GAMBLING ESTABLISHMENT HELD BY A TRUST (ESTATE PLANNING OR OTHER)?..... ☐ YES ☐ NO

IF YES, YOU MUST ALSO COMPLETE AND SUBMIT AN APPLICATION FOR STATE GAMBLING LICENSE (CGCC-050) FOR THE TRUST AND A TRUST SUPPLEMENTAL BACKGROUND INVESTIGATION INFORMATION FORM (BGC-APP-143).

SECTION 11: GROSS ANNUAL INCOME

TYPE OF INCOME	APPLICANT	OTHER
INCOME/WAGES	$	$
BUSINESS INCOME (EXPLAIN TYPE OF BUSINESS)	$	$
INTEREST INCOME	$	$
DIVIDEND INCOME	$	$
RENTAL INCOME	$	$
CHILD SUPPORT	$	$
GIFTS	$	$
SPOUSAL SUPPORT/ALIMONY	$	$
OTHER (SPECIFY)	$	$
OTHER (SPECIFY)	$	$
OTHER (SPECIFY)	$	$
TOTAL GROSS INCOME	$	$

SECTION 12: MONTHY EXPENDITURES	
TYPE OF EXPENDITURE	APPLICANT
REAL ESTATE (mortgage) PAYMENTS:	$
RENT:	$
HOUSEHOLD EXPENSES (*utilities, food, gasoline, home and car maintenance, entertainment, etc.*):	$
BUSINESS EXPENSES (describe):	$
CREDIT CARD PAYMENTS:	$
VEHICLE PAYMENTS:	$
OTHER (describe):	$
OTHER (describe):	$
TOTAL MONTHLY EXPENDITURES	$

THE ASSET AND LIABILITY FIGURES SHOWN BELOW ARE AS OF _____ , 20 _____.

SECTION 13: STATEMENT OF ASSETS		
LIST THE VALUE OF ALL ASSETS, BOTH TANGIBLE AND INTANGIBLE. ALL ASSETS MUST BE FULLY DESCRIBED ON THE CORRESPONDING SCHEDULES.		
ASSETS	*PURCHASE PRICE	CURRENT MARKET VALUE
CASH (TOTAL FROM SCHEDULE A)		$
STOCKS AND BONDS (TOTAL FROM SCHEDULE B)		$
ACCOUNTS AND NOTES RECEIVABLE (TOTAL FROM SCHEDULE C)		$
BUSINESS INVESTMENTS* (TOTAL FROM SCHEDULE D)	$	$
REAL ESTATE* (TOTAL FROM SCHEDULE E)	$	$
OTHER ASSETS (TOTAL FROM SCHEDULE F)		$
TOTAL ASSETS		$

SECTION 14: STATEMENT OF LIABILITIES		
LIST THE VALUE OF ALL YOUR LIABILITIES. ALL LIABILITIES MUST BE FULLY DESCRIBED ON THE CORRESPONDING SCHEDULES. IF APPLICABLE, ANY DEBT INCURRED TO FINANCE THE TOTAL INVESTED IN THE GAMBLING ESTABLISHMENT SHOULD BE REFLECTED ON ONE OF THE SCHEDULES LISTED BELOW.		
LIABILITIES	*INITIAL AMOUNT	PRESENT BALANCE
ACCOUNTS PAYABLE (TOTAL FROM SCHEDULE G)		$
TAXES PAYABLE (TOTAL FROM SCHEDULE H)		$
NOTES PAYABLE* (TOTAL FROM SCHEDULE I)	$	$
MORTGAGE PAYABLE* (TOTAL FROM SCHEDULE J)	$	$
CONTINGENT AND OTHER LIABILITIES (TOTAL FROM SCHEDULE K)		$
TOTAL LIABILITIES		$

NOTE: ADDITIONAL FINANCIAL INFORMATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

SECTION 15: SUPPORTING DOCUMENTATION CHECKLIST

The following items must be submitted in conjunction with an Application for a State Gambling License (CGCC-030) and this Owner Applicant-Individual Supplemental Background Investigation Information form (BGC-APP-015A). Originals are required unless otherwise stated. Only documents that are dated and signed by all parties will be accepted. Failure to provide complete documents may result in denial of a license/denial of suitability. Pursuant to Business and Professions Code section 19868(a), an official filing date will not be established until all required forms, documentation and fees have been received by the State.

- ☐ Background Investigation Deposit required in CCR, Title 11, Division 3, Chapter 1, Article 4, Section 2037
- ☐ Gambling Establishment Supplemental Information form (BGC-APP-015C) for the gambling establishment. If there are multiple owners of this gambling establishment, only one BGC-APP-015C form needs to be submitted to provide information about the gambling establishment.
- ☐ If you are applying as a shareholder, member, partner, etc., a Gambling Establishment Owner Entity Supplemental Information form (BGC-APP-015B) for the business entity (corporation, LLC, partnership, etc.) that is buying or operating the gambling establishment also needs to be submitted.
- ☐ Applicant's Declaration, Acknowledgment, and Agreement (Community Property Interest) (BGC-APP-011 [Rev. 11/07]) OR Applicant's Declaration, Acknowledgment, and Agreement (Sole and Separate Property) (BGC-APP-012 [Rev. 11/07]) - Review both forms and complete the appropriate declaration. If you are married, your spouse must refer to the "Instructions to Applicant's Spouse."
- ☐ Application for State Gambling License (BGC-030) and a Trust Supplemental Background Investigation Information form (BGC-APP-143) if your interest in this gambling establishment is held by a trust.
- ☐ Declaration of Full Disclosure (BGC-APP-005 [Rev. 11/07])
- ☐ Authorization to Release Information (BGC-APP-006 [Rev. 07/17])
- ☐ Appointment of Designated Agent (BGC-APP-008 [Rev. 07/17])
- ☐ Copy of DD214, if you ever served in Armed Forces
- ☐ Naturalization Certificate or Permanent Resident Identification - If a naturalized citizen, copy of front and back of your naturalization certificate.
- ☐ Resident Alien Card (front and back) if you are not a United States citizen.
- ☐ Copy of the completed Request for Live Scan Service (BCII 8016) after fingerprints have been taken.
- ☐ Local Cardroom Employee License, Permit, Badge, etc. - copy
- ☐ Management Company/Consultant Agreement, if applicable - copy
- ☐ All Current Lease/Rental Agreements if applying as a sole proprietor - copies
- ☐ Loan Documentation for the loan obtained to purchase the gambling establishment (if applying as a sole proprietor) - copies
- ☐ Tax Returns - Signed and dated copies of state and federal for the past three years, including all schedules and attachments - both individual and for any businesses you own.
- ☐ Request for copy of Personal Income Tax or Fiduciary Return (FTB 3516C1 [Rev. 06-03 side 1])
- ☐ Internal Revenue Service Request for Transcript of Tax Return (4506-T [Rev. 4/2006])
- ☐ Current Balance Sheets and Income Statements for yourself and all of your businesses
- ☐ Bank Statements - Copies of all monthly statements for all personal and business accounts corresponding to the same period of time reflected in the balance sheet and income statement.
- ☐ Investment Account Statements - Copies of all monthly statements for all personal and business accounts corresponding to the same period of time reflected in the balance sheet and income statement.
- ☐ Bankruptcy court records, if applicable - copy

Pursuant to Business and Professions Code section 19867, an applicant is responsible for all costs incurred by the Bureau while conducting a background investigation for gambling license suitability. 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 all outstanding background investigation and issuance fees are received.

SECTION 16: DECLARATION

I declare under penalty of perjury of the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate and complete, and that this declaration is executed by me at _____ on _____.
City and State *Date*

PRINT FULL NAME	SIGNATURE	DATE

SCHEDULE A - ASSETS
Cash

List all cash and where it is located, e.g. financial institutions (foreign and domestic), safe deposit boxes, etc.

Name & Address of Bank or Investment Account	Type of Account	Account Number	Date Opened	Names of Persons Who Have Signature Authority on Account	Balance
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE B - ASSETS
Stocks and Bonds

List all stocks, bonds, mutual funds, or other similar investments held or controlled.

Issuer	Registered Owner	Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	Number of Shares or Units	Current Market Value
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE C - ASSETS
Accounts and Notes Receivable

List all loans, accounts, and notes receivable.

Name & Address of Debtor	Date Acquired	Maturity Date (notes receivable)	Payment Amount and Payment Period (e.g. Weekly, Monthly)	Interest Rate	Original Amount	Unpaid Balance
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

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 who share a direct, indirect, or vested interest. This should include, but not be limited to, joint ventures, partnerships, limited liabilities companies, and corporations.

Entity Name	Type of Entity	Number of Shares or Units	Name in which held	Percent of Ownership	Individuals or Entities Sharing Interest & Percentage Ownership	Date of Purchase	Purchase Price	Current Market Value
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE E - ASSETS
Real Estate

List any direct or indirect interest held in real property by yourself, your spouse, or your dependent children.

Address or Parcel Number & Location	Type (Residential/Commercial)	Percentage of Ownership	Date of Purchase	Current Income (Rent/Lease) (Indicate per month, year, etc.)	Purchase Price	Current Market Value
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE F - ASSETS
Other Assets

List all other assets (e.g., art collections, coin collections, antiques, automobiles, etc.)

Type of Asset	Description	Date of Purchase	Purchase Price	Current Market Value
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE G - LIABILITIES
Accounts Payable

List all accounts payable (e.g. revolving accounts, credit cards, leases, lines of credit).

Name and Address of Creditor	Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g. Weekly, Monthly, etc.)	Interest Rate	Unpaid Balance
						$
						$
						$
						$
						$
						$
						$
						$
					TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE H - LIABILITIES

Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., Franchise Tax Board/Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Amount	Fines, Penalties and Interest	Unpaid Balance
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE I - LIABILITIES

Notes Payable

List all notes payable.

Name and Address of Creditor	Date Incurred	Collateral	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Note Amount	Interest Rate	Unpaid Balance
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
						TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE J - LIABILITIES
Mortgages Payable

List all mortgages or liens on real estate.

Name and Address of Creditor Account Number	Address or Parcel Number and Location of Real Estate	Date Incurred	Interest Rate	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Loan Amount	Unpaid Balance
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

SCHEDULE K - LIABILITIES
Contingent and Other Liabilities

List any other indebtedness or liability, e.g., co-signer on a loan, pending litigation, child support, alimony, etc.

Name and Address of Creditor	Date Incurred	Collateral	Description of Liability and Account Number	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Interest Rate	Original Amount	Unpaid Balance
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						TOTAL*:	$

*This total should match the corresponding total reported on page 9.

Signature of Preparer _____ Date _____

State of California

DEPARTMENT OF JUSTICE

Gambling Establishment Owner Entity
Supplemental Information for State Gambling License

BGC-APP-015B (Rev. 07/17)

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (Not Applicable). If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any information as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

This Supplemental Form must be completed by a business entity (corporation, partnership, limited liability company, joint venture or other business) that is applying for a state gambling license as an owner of a gambling establishment.

SECTION 1: BUSINESS INFORMATION

NAME OF BUSINESS APPLICANT	TRADE NAME TO BE USED (IF APPLICABLE)		
BUSINESS/ MAILING ADDRESS (NUMBER / STREET)	CITY	STATE	ZIP
MAIN OFFICE (IF DIFFERENT THAN ABOVE) (NUMBER / STREET)	CITY	STATE	ZIP
ADDRESS WHERE BUSINESS RECORDS ARE MAINTAINED (NUMBER / STREET)	CITY	STATE	ZIP

BUSINESS PHONE	BUSINESS FAX	FEDERAL TAX ID NUMBER	STATE TAX ID NUMBER
( )	( )		

HAS THIS BUSINESS EVER OPERATED UNDER ANOTHER NAME IN ANY JURISDICTION (INCLUDING INTERNATIONAL JURISDICTIONS)?..... ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS.

A) BUSINESS NAME	JURISDICTION
B) BUSINESS NAME	JURISDICTION

DOES THIS BUSINESS HAVE PARENT COMPANIES, SUBSIDIARIES OR AFFILIATES?..... ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS.

A) BUSINESS NAME	PARENT/SUBSIDIARY/AFFILIATE	RELATIONSHIP TO GAMBLING ESTABLISHMENT
B) BUSINESS NAME	PARENT/SUBSIDIARY/AFFILIATE	RELATIONSHIP TO GAMBLING ESTABLISHMENT

LIST ANY CURRENT OR PREVIOUS BUSINESS RELATIONSHIP(S) AND/OR AGREEMENTS WITH THE GAMING INDUSTRY, INCLUDING TRIBAL GAMING.

NAME OF BUSINESS/TRIBE	ADDRESS	NATURE OF RELATIONSHIP	DATES OF RELATIONSHIP

SECTION 2: OTHER LICENSING INFORMATION

HAS THIS BUSINESS EVER HELD OR APPLIED FOR A PERMIT, LICENSE, CERTIFICATE, REGISTRATION OR AUTHORIZATION RELATED TO GAMING IN ANY JURISDICTION? ☐ YES ☐ NO

IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL, STATE, LOCAL OR INTERNATIONAL) TO WHICH YOU HAVE APPLIED FOR A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION RELATED TO GAMING ACTIVITIES OR LOTTERY, WHETHER OR NOT SUCH LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION WAS GRANTED (INCLUDE ANY APPLICATIONS THAT WERE WITHDRAWN, DENIED AND/OR ARE PENDING).

A) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
B) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
C) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	

HAS THIS BUSINESS EVER APPLIED TO ANY LICENSING OR REGULATORY AGENCY FOR A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION NOT RELATED TO GAMING, WHETHER OR NOT SUCH A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION WAS GRANTED? ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS (INCLUDE ANY APPLICATIONS THAT WERE WITHDRAWN, DENIED AND/OR PENDING).

A) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
B) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	
C) LICENSE/PERMIT/CERTIFICATE/AUTHORIZATION #	TYPE OF APPLICATION	DATES HELD (MM/YYYY) FROM: TO:	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY		ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)	

LIST ALL STATES AND/OR COUNTRIES WHERE THIS BUSINESS IS INCORPORATED, REGISTERED OR QUALIFIED TO DO BUSINESS; ALSO PROVIDE THE CORPORATION, REGISTRATION, OR LICENSE NUMBER AND DATE QUALIFIED TO DO BUSINESS.

STATE	COUNTRY	CORPORATION/REGISTRATION/LICENSE NUMBER	DATE QUALIFIED TO DO BUSINESS

SECTION 3: LITIGATION HISTORY

HAS THIS BUSINESS BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, EXPLAIN EACH INCIDENT.

A) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)

DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION

BRIEF EXPLANATION OF ISSUES

B) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)

DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION

BRIEF EXPLANATION OF ISSUES

C) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)

DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION

BRIEF EXPLANATION OF ISSUES

SECTION 4: REMUNERATIONS

LIST ANY REMUNERATION EXCEEDING $50,000 PAID ANNUALLY TO PERSONS OTHER THAN THE DIRECTORS AND OFFICERS OF THIS BUSINESS.

NAME OF PAYEE	ADDRESS OF PAYEE	REASON FOR PAYMENT	ANNUAL AMOUNT
			$
NAME OF PAYEE	ADDRESS OF PAYEE	REASON FOR PAYMENT	ANNUAL AMOUNT
			$
NAME OF PAYEE	ADDRESS OF PAYEE	REASON FOR PAYMENT	ANNUAL AMOUNT
			$
NAME OF PAYEE	ADDRESS OF PAYEE	REASON FOR PAYMENT	ANNUAL AMOUNT
			$

SECTION 5: FINANCIAL INFORMATION

HAS ANY INTEREST IN THIS BUSINESS BEEN ASSIGNED, PLEDGED OR HYPOTHECATED TO ANY INDIVIDUAL OR ENTITY OR HAS ANY AGREEMENT OR CONTRACT BEEN ENTERED INTO WHEREBY ANY INTEREST IS TO BE ASSIGNED, PLEDGED, OR HYPOTHECATED EITHER IN PART OR IN WHOLE? ☐ YES ☐ NO

IF YES, EXPLAIN BELOW:

HAS THIS BUSINESS FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, EXPLAIN BELOW. **(Please provide copies of the bankruptcy petition and order, which lists all creditors and discharged debts.)**

FEDERAL DISTRICT COURT WHERE FILED	DATE FILED (MM/DD/YYYY)	CASE NUMBER	DATE DISCHARGED (MM/DD/YYYY)	DESCRIBE THE CIRCUMSTANCES THAT RESULTED IN THIS ACTION

HAS THIS BUSINESS HAD A MATERIAL REORGANIZATION WITHIN THE LAST THREE YEARS? ☐ YES ☐ NO

IF YES, PROVIDE COMPLETE DETAILS AND DATES:

HAVE ANY INDIVIDUALS, BUSINESSES OR GOVERNMENTAL AGENCIES FILED LIENS OR JUDGEMENTS AGAINST THIS BUSINESS WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

☐ LIEN ☐ JUDGEMENT	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE LIEN OR JUDGEMENT	EXPLANATION/STATUS

EXPLANATION AND STATUS

☐ LIEN ☐ JUDGEMENT	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE LIEN OR JUDGEMENT	EXPLANATION/STATUS

EXPLANATION AND STATUS

HAS THIS BUSINESS HAD ANY ASSETS REPOSSESSED, SEIZED, OR DEBT TURNED OVER TO COLLECTION FOR ANY REASON WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

ASSETS	REPOSSESSION/SEIZURE/COLLECTION	DATE (MM/DD/YYYY)	REASON

DOES THIS BUSINESS OWN, CONTROL OR MANAGE ANY ASSETS OR LIABILITIES OUTSIDE THE UNITED STATES? ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

DESCRIPTION OF ASSET/LIABILITY	DATE ACQUIRED (MM/DD/YYYY)	LOCATION

DOES THIS BUSINESS OWN, CONTROL, MANAGE OR HOLD ANY ASSETS OR LIABILITIES FOR ANOTHER INDIVIDUAL OR ENTITY? ☐ YES ☐ NO

IF YES, PROVIDE COMPLETE DETAILS HERE.

IS THIS BUSINESS, OR ANY INTEREST IN THIS BUSINESS HELD BY A TRUST? ☐ YES ☐ NO

IF YES, YOU MUST ALSO COMPLETE AND SUBMIT AN APPLICATION FOR STATE GAMBLING LICENSE (CGCC-030) FOR THE TRUST AND A TRUST SUPPLEMENTAL BACKGROUND INVESTIGATION INFORMATION FORM (BGC-APP-143). WHEN A GAMBLING ESTABLISHMENT IS HELD BY A TRUST, ANY CURRENT TRUSTOR(S), TRUSTEE(S), AND BENEFICIARIES (WHO ARE NOT CONTINGENT ON A FUTURE EVENT) MUST ALSO APPLY FOR A STATE GAMBLING LICENSE.

DOES THIS BUSINESS HAVE ANY PLANS TO SELL, MERGE, OR ACQUIRE NEW BUSINESSES IN THE NEXT 24 MONTHS? ☐ YES ☐ NO

IF YES, PROVIDE COMPLETE DETAILS AND DATES:

THE ASSET AND LIABILITY FIGURES SHOWN BELOW ARE AS OF _____, 20_____.

SECTION 6: STATEMENT OF ASSETS		
LIST THE VALUE OF ALL ASSETS, BOTH TANGIBLE AND INTANGIBLE. ALL ASSETS MUST BE FULLY DESCRIBED ON THE CORRESPONDING SCHEDULES.		
ASSETS	***PURCHASE PRICE**	**CURRENT MARKET VALUE**
CASH (TOTAL FROM SCHEDULE A)		$
STOCKS AND BONDS (TOTAL FROM SCHEDULE B)		$
ACCOUNTS AND NOTES RECEIVABLE (TOTAL FROM SCHEDULE C)		$
BUSINESS INVESTMENTS* (TOTAL FROM SCHEDULE D)	$	$
CAPITAL IMPROVEMENTS		$
REAL ESTATE* (TOTAL FROM SCHEDULE E)	$	$
OTHER ASSETS (TOTAL FROM SCHEDULE F)		$
TOTAL ASSETS		$

SECTION 7: STATEMENT OF LIABILITIES		
LIST THE VALUE OF ALL LIABILITIES. ALL LIABILITIES MUST BE FULLY DESCRIBED ON THE CORRESPONDING SCHEDULES. IF APPLICABLE, ANY DEBT INCURRED TO FINANCE THE TOTAL INVESTED IN THE GAMBLING ESTABLISHMENT SHOULD BE REFLECTED ON ONE OF THE SCHEDULES LISTED BELOW.		
LIABILITIES	***INITIAL AMOUNT**	**PRESENT BALANCE**
ACCOUNTS PAYABLE (TOTAL FROM SCHEDULE G)		$
TAXES PAYABLE (TOTAL FROM SCHEDULE H)		$
NOTES PAYABLE* (TOTAL FROM SCHEDULE I)	$	$
MORTGAGE PAYABLE* (TOTAL FROM SCHEDULE J)	$	$
CONTINGENT AND OTHER LIABILITIES (TOTAL FROM SCHEDULE K)		$
TOTAL LIABILITIES		$

NOTE: ADDITIONAL FINANCIAL INFORMATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

SECTION 8: SUPPORTING DOCUMENTATION CHECKLIST

The following items must be submitted in conjunction with an Application for a State Gambling License (CGCC-030) and this Owner Entity Supplemental Background Investigation Information form (BGC-APP-015B). Originals are required unless otherwise stated. Only documents that are dated and signed by all parties will be accepted. Failure to provide complete documents may result in denial of a license/denial of suitability. Pursuant to Business and Professions Code section 19868(a), an official filing date will not be established until all required forms, documentation and fees have been received by the State.

- ☐ Background Investigation Deposit required in CCR, Title 11, Division 3, Chapter 1, Article 4, Section 2037
- ☐ Gambling Establishment Supplemental Information form (BGC-APP-015C) for the gambling establishment. Individual owners/shareholders/members/etc. also need to each submit an Owner Applicant - Individual Supplemental Information (BGC-APP-015A).
- ☐ Application for State Gambling License (BGC-030) and a Trust Supplemental Background Investigation Information form (BGC-APP-143) if this business is held by a trust.
- ☐ Declaration of Full Disclosure (BGC-APP-005 (Rev. 11/07))
- ☐ Authorization to Release Information (BGC-APP-006 (Rev. 07/17))
- ☐ Appointment of Designated Agent (BGC-APP-008 (Rev. 07/17))
- ☐ Current Articles of Incorporation and Statement of Information if this entity is a corporation
- ☐ Current Articles of Organization and Operating Agreement if this entity is a limited liability company
- ☐ Certificate of Limited Partnership, Partnership Agreement, Operating Agreement if this is a limited partnership
- ☐ Partnership Agreement, if this entity is a General Partnership (also include a copy of the Statement of Partnership Authority if one was filed)
- ☐ Current Organizational Chart for this Owner Entity - Show Names, Job Titles and Lines of Accountability
- ☐ All Current Lease/Rental Agreements between the owner entity and the gambling establishment - copies
- ☐ Management Company/Consultant Agreement, if applicable - copy
- ☐ Local Gambling Establishment License or Permit – copy
- ☐ Loan Documentation for the loan obtained to purchase the gambling establishment - copies
- ☐ Tax Returns - Signed and dated copies of business state and federal for the past three years, including all schedules and attachments.
- ☐ Request for Copy of Corporation, Exempt Organization, Partnership, or Limited Liability Company Tax Return (FTB 3516C1 (Rev. 06-03), side 2).
- ☐ Internal Revenue Service Request for Transcript of Tax Return (4506-T (Rev. 4/2006))
- ☐ Current Balance Sheet and Income Statement
- ☐ Bank Statements – Copies of all monthly statements for all business accounts corresponding to the same period of time reflected in the balance sheet and income statement.
- ☐ Investment Account Statements - Copies of all monthly statements for all business accounts corresponding to the same period of time reflected in the balance sheet and income statement.
- ☐ Bankruptcy court records, if applicable - copy

Pursuant to Business and Professions Code section 19867, an applicant is responsible for all costs incurred by the Bureau while conducting a background investigation for gambling license suitability. 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 all outstanding background investigation and issuance fees are received.

SECTION 9: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing is true, correct and complete. I declare under penalty of perjury of the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate and complete, and that this declaration is executed by me at _____ on _____.

City and State *Date*

PRINT FULL NAME	SIGNATURE	DATE

SCHEDULE A - ASSETS
Cash

List all cash and where it is located, e.g. financial institutions (foreign and domestic), safe deposit boxes, etc.

Name & Address of Bank or Investment Account	Type of Account	Account Number	Date Opened	Names of Persons Who Have Signature Authority on Account	Balance
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE B - ASSETS
Stocks and Bonds

List all stocks, bonds, mutual funds, or other similar investments held or controlled.

Issuer	Registered Owner	Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	Number of Shares or Units	Current Market Value
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE C - ASSETS
Accounts and Notes Receivable

List all loans, accounts, and notes receivable.

Name & Address of Debtor	Date Acquired	Maturity Date (notes receivable)	Payment Amount and Payment Period (e.g. Weekly, Monthly)	Interest Rate	Original Amount	Unpaid Balance
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

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 who share a direct, indirect, or vested interest. This should include, but not be limited to, joint ventures, partnerships, limited liabilities companies, and corporations.

Entity Name	Type of Entity	Number of Shares or Units	Name in which held	Percent of Ownership	Individuals or Entities Sharing Interest & Percentage Ownership	Date of Purchase	Purchase Price	Current Market Value
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE E - ASSETS
Real Estate

List any direct or indirect interest held in real property.

Address or Parcel Number & Location	Type (Residential/Commercial)	Percentage of Ownership	Date of Purchase	Current Income (Rent/Lease) (Indicate per month, year, etc.)	Purchase Price	Current Market Value
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE F - ASSETS
Other Assets

List all other assets (e.g., art collections, coin collections, antiques, automobiles, etc.)

Type of Asset	Description	Date of Purchase	Purchase Price	Current Market Value
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE G - LIABILITIES
Accounts Payable

List all accounts payable (e.g. revolving accounts, credit cards, leases, lines of credit).

Name and Address of Creditor	Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g. Weekly, Monthly, etc.)	Interest Rate	Unpaid Balance
						$
						$
						$
						$
						$
						$
						$
						$
					TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE H - LIABILITIES

Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., Franchise Tax Board/Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Amount	Fines, Penalties and Interest	Unpaid Balance
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE I - LIABILITIES

Notes Payable

List all notes payable.

Name and Address of Creditor	Date Incurred	Collateral	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Note Amount	Interest Rate	Unpaid Balance
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
						TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE J - LIABILITIES
Mortgages Payable

List all mortgages or liens on real estate.

Name and Address of Creditor Account Number	Address or Parcel Number and Location of Real Estate	Date Incurred	Interest Rate	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Loan Amount	Unpaid Balance
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE K - LIABILITIES
Contingent and Other Liabilities

List any other indebtedness or liability, e.g., co-signer on a loan, pending litigation, etc.

Name and Address of Creditor	Date Incurred	Collateral	Description of Liability and Account Number	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Interest Rate	Original Amount	Unpaid Balance
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

State of California

DEPARTMENT OF JUSTICE

Gambling Establishment
Supplemental Information for State Gambling License

BGC-APP-015C (Rev. 07/17)

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A" (Not Applicable). If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any information as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant.

This Supplemental Form must be completed on behalf of the gambling establishment.

SECTION 1: BUSINESS INFORMATION

NAME OF GAMBLING ESTABLISHMENT	TRADE NAME TO BE USED (IF APPLICABLE)

HAS THIS GAMBLING ESTABLISHMENT EVER OPERATED UNDER ANOTHER NAME IN ANY JURISDICTION (INCLUDING INTERNATIONAL JURISDICTIONS)?..... ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS.

A) BUSINESS NAME	LOCATION	DATES OF OPERATION
B) BUSINESS NAME	LOCATION	DATES OF OPERATION

DOES THIS GAMBLING ESTABLISHMENT HAVE PARENT COMPANIES, SUBSIDIARIES OR AFFILIATES?..... ☐ YES ☐ NO

IF YES TO THE ABOVE, PROVIDE THE FOLLOWING DETAILS.

A) BUSINESS NAME	PARENT/SUBSIDIARY/AFFILIATE	RELATIONSHIP TO GAMBLING ESTABLISHMENT
B) BUSINESS NAME	PARENT/SUBSIDIARY/AFFILIATE	RELATIONSHIP TO GAMBLING ESTABLISHMENT

SECTION 2: GAMBLING ESTABLISHMENT OPERATIONS

HOURS OF OPERATIONS: ☐ 24HOURS/365 DAYS, OR:

	SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
OPENING TIME							
CLOSING TIME							

BUSINESS OFFICE HOURS: ☐ SAME AS HOURS OF OPERATION, 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(S) OF PROPOSED GAME(S):_____

SECTION 3: GAMING

LIST ANY THIRD PARTY PROVIDERS OF PROPOSITION PLAYER SERVICES OR OTHER GAMBLING BUSINESSES OPERATING IN THIS GAMBLING ESTABLISHMENT AS OF THE DATE OF THIS APPLICATION.

NAME	ADDRESS	PHONE ( )
NAME	ADDRESS	PHONE ( )
NAME	ADDRESS	PHONE ( )

CHIPS IN USE: THE CALIFORNIA CODE OF REGULATIONS REQUIRES GAMBLING ESTABLISHMENTS TO MAINTAIN A SEPARATE, SPECIFICALLY DESIGNATED, INSURED ACCOUNT WITH A LICENSED FINANCIAL INSTITUTION IN AN AMOUNT NOT LESS THAN THE TOTAL VALUE OF THE CHIPS IN USE BY THE GAMBLING ESTABLISHMENT. PROVIDE THE TOTAL VALUE OF THE CHIPS OUTSTANDING AT ANY GIVEN TIME AT THIS GAMBLING ESTABLISHMENT AND A COPY OF THE MOST RECENT STATEMENT ON THIS ACCOUNT.

AMOUNT OF CHIPS IN USE AT THIS GAMBLING ESTABLISHMENT	FINANCIAL INSTITUTION WHERE CHIPS IN USE ACCOUNT IS MAINTAINED	CURRENT BALANCE

PLAYERS' BANK: THE CALIFORNIA CODE OF REGULATIONS REQUIRES GAMBLING ESTABLISHMENTS TO MAINTAIN A SEPARATE, SPECIFICALLY DESIGNATED, INSURED ACCOUNT WITH A LICENSED FINANCIAL INSTITUTION IN AN AMOUNT NOT LESS THAN THE TOTAL AMOUNT OF THE MONIES THAT PATRONS HAVE ON DEPOSIT WITH THE GAMBLING ESTABLISHMENT.

DOES THIS GAMBLING ESTABLISHMENT OFFER PLAYERS' BANKS?..... ☐ YES ☐ NO

ENTER THE AMOUNT OF MONEY YOUR BUSINESS RECORDS SHOW AS BEING DEPOSITED BY PLAYERS:.....$ _____

ATTACH A COPY OF THE MOST RECENT STATEMENT OF THE FINANCIAL INSTITUTION'S ACCOUNT COVERING THE PLAYERS' BANK FUNDS.

THE BUREAU OF GAMBLING CONTROL MAY ALLOW THE GAMBLING ESTABLISHMENT TO PROVIDE SOME OTHER FORM OF SECURITY IN LIEU OF MAINTAINING THE REQUIRED CHIPS IN USE OR PLAYERS' BANK FINANCIAL INSTITUTION ACCOUNT(S). IF THIS GAMBLING ESTABLISHMENT WISHES TO SEEK APPROVAL, OR HAS ALREADY OBTAINED APPROVAL, FOR THIS ALTERNATE FORM OF SECURITY, PLEASE PROVIDE A DETAILED EXPLANATION AND COPIES OF ANY WRITTEN APPROVAL RECEIVED FROM THE BUREAU.

SECTION 4: LITIGATION HISTORY

HAS THIS GAMBLING ESTABLISHMENT BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?..... ☐ YES ☐ NO

IF YES, EXPLAIN EACH INCIDENT.

A) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)		
DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION
BRIEF EXPLANATION OF ISSUES		

B) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)		
DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION
BRIEF EXPLANATION OF ISSUES		

C) NAME OF PLAINTIFF(S) AND DEFENDANT(S)

NAME OF CLAIMANT(S) AND RESPONDENT(S)

DATE FILED (MM/DD/YYYY)	STATE OR FEDERAL COURT	CASE NUMBER
CITY/COUNTY/STATE	DATE OF DISPOSITION	DISPOSITION
BRIEF EXPLANATION OF ISSUES		

SECTION 5: FINANCIAL INFORMATION

HAS ANY INTEREST IN THIS GAMBLING ESTABLISHMENT BEEN ASSIGNED, PLEDGED OR HYPOTHECATED TO ANY INDIVIDUAL OR ENTITY OR HAS ANY AGREEMENT OR CONTRACT BEEN ENTERED INTO WHEREBY ANY INTEREST IS TO BE ASSIGNED, PLEDGED OR HYPOTHECATED EITHER IN PART OR IN WHOLE? ☐ YES ☐ NO

IF YES, EXPLAIN BELOW.

HAVE ANY INDIVIDUALS, BUSINESSES OR GOVERNMENTAL AGENCIES FILED LIENS OR JUDGEMENTS AGAINST THIS GAMBLING ESTABLISHMENT WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE.

☐ LIEN ☐ JUDGEMENT	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT ***FILED*** THE LIEN OR JUDGEMENT	EXPLANATION/STATUS
EXPLANATION AND STATUS			
☐ LIEN ☐ JUDGEMENT	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT ***FILED*** THE LIEN OR JUDGEMENT	EXPLANATION/STATUS
EXPLANATION AND STATUS			

IS THIS GAMBLING ESTABLISHMENT, OR ANY INTEREST IN THIS GAMBLING ESTABLISHMENT HELD BY A TRUST? ☐ YES ☐ NO

IF YES, YOU MUST ALSO COMPLETE AND SUBMIT AN APPLICATION FOR STATE GAMBLING LICENSE (CGCC-030) FOR THE TRUST AND A TRUST SUPPLEMENTAL BACKGROUND INVESTIGATION INFORMATION FORM (BGC-APP-143). WHEN A FINANCIAL INTEREST IS HELD BY A TRUST, ANY CURRENT TRUSTOR(S), TRUSTEE(S), AND BENEFICIARIES (WHO ARE NOT CONTINGENT ON A FUTURE EVENT) MUST ALSO APPLY FOR A STATE GAMBLING LICENSE.

ARE THERE ANY **GAME INVENTORS** WHO HAVE A FINANCIAL INTEREST IN THIS GAMBLING ESTABLISHMENT (I.E., RECEIVING COMPENSATION THAT IS BASED ON CARDROOM REVENUE, ETC.)? ☐ YES ☐ NO

EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE GAMBLING ESTABLISHMENT IS REQUIRED TO SUBMIT A SEPARATE APPLICATION AS AN OWNER (CGCC-030, BGC-APP-015A OR 015B, AND SUPPORTING DOCUMENTS).

IF YES, PROVIDE DETAILS HERE

NAME	ADDRESS	GAME INVENTED/BEING PLAYED	COMPENSATION ARRANGEMENTS/ % OF REVENUE

ARE THERE ANY **EMPLOYEES** WHO PARTICIPATE IN PROFIT SHARING PLANS OR TO WHOM BONUSES ARE PAID THAT ARE BASED ON GAMBLING ESTABLISHMENT REVENUE? ☐ YES ☐ NO

EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE GAMBLING ESTABLISHMENT IS REQUIRED TO SUBMIT A SEPARATE APPLICATION AS AN OWNER (CGCC-030, BGC-APP-015A OR 015B, AND SUPPORTING DOCUMENTS).

IF YES, PROVIDE DETAILS HERE

NAME	TITLE	BONUS/PROFIT SHARING	COMPENSATION ARRANGEMENTS/ % OF REVENUE

SECTION 6: RENT/LEASE INFORMATION

NAME OF PROPERTY OWNER	NAME OF LEASING AGENT/LANDLORD		
ADDRESS (NUMBER / STREET)	CITY	STATE	ZIP
PHONE ( )	MONTHLY RENT/LEASE PAYMENT		

IS ANY PORTION OF THE RENT/LEASE PAYMENT BASED ON GAMBLING ESTABLISHMENT REVENUES? EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE GAMBLING ESTABLISHMENT IS REQUIRED TO SUBMIT A SEPARATE APPLICATION AS AN OWNER (CGCC-030, BGC-APP-015A OR 015B, AND SUPPORTING DOCUMENTS).	☐ YES ☐ NO
DO ANY PERSONS WHO OWN THE BUILDING IN WHICH THIS GAMBLING ESTABLISHMENT OPERATES OR THE LAND UPON WHICH THIS GAMBLING ESTABLISHMENT SITS, OR ANY PERSONS EMPLOYED BY THE LESSOR, HAVE A FINANCIAL INTEREST IS THIS GAMBLING ESTABLISHMENT?	☐ YES ☐ NO

IF YES, PROVIDE DETAILS HERE

NAME OF PERSON WITH INTEREST	ADDRESS	DESCRIPTION OF THEIR FINANCIAL INTEREST IN THIS GAMBLING ESTABLISHMENT

SECTION 7: REMUNERATIONS

LIST ANY REMUNERATION EXCEEDING $50,000 PAID ANNUALLY BY THE GAMBLING ESTABLISHMENT TO PERSONS OTHER THAN THE LICENSED OWNERS OF THIS GAMBLING ESTABLISHMENT.

NAME OF PAYEE	ADDRESS OF PAYEE	REASON FOR PAYMENT	ANNUAL AMOUNT
			$
			$
			$
			$

THE ASSET AND LIABILITY FIGURES SHOWN BELOW ARE AS OF _____, 20_____.

SECTION 8: STATEMENT OF ASSETS

LIST THE VALUE OF ALL ASSETS, BOTH TANGIBLE AND INTANGIBLE, ASSOCIATED WITH THIS GAMBLING ESTABLISHMENT. ALL ASSETS MUST BE FULLY DESCRIBED ON THE CORRESPONDING SCHEDULES. IF APPLICABLE, THE GAMBLING ESTABLISHMENT'S INVESTMENT(S) SHOULD BE REFLECTED ON SCHEDULE D.

ASSETS	*PURCHASE PRICE	CURRENT MARKET VALUE
CASH (TOTAL FROM SCHEDULE A)		$
STOCKS AND BONDS (TOTAL FROM SCHEDULE B)		$
ACCOUNTS AND NOTES RECEIVABLE (TOTAL FROM SCHEDULE C)		$
BUSINESS INVESTMENTS* (TOTAL FROM SCHEDULE D)	$	$
CAPITAL IMPROVEMENTS		$
REAL ESTATE* (TOTAL FROM SCHEDULE E)	$	$
OTHER ASSETS (TOTAL FROM SCHEDULE F)		$
TOTAL ASSETS		$

SECTION 9: STATEMENT OF LIABILITIES

LIST THE VALUE OF ALL LIABILITIES ASSOCIATED WITH THIS GAMBLING ESTABLISHMENT. ALL LIABILITIES MUST BE FULLY DESCRIBED ON THE CORRESPONDING SCHEDULES.

LIABILITIES	*INITIAL AMOUNT	PRESENT BALANCE
ACCOUNTS PAYABLE (TOTAL FROM SCHEDULE G)		$
TAXES PAYABLE (TOTAL FROM SCHEDULE H)		$
NOTES PAYABLE* (TOTAL FROM SCHEDULE I)	$	$
MORTGAGES PAYABLE* (TOTAL FROM SCHEDULE J)	$	$
CONTINGENT AND OTHER LIABILITIES (TOTAL FROM SCHEDULE K)		$
TOTAL LIABILITIES		$

NOTE: ADDITIONAL FINANCIAL INFORMATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

SECTION 10: SUPPORTING DOCUMENTATION CHECKLIST

The following items must be submitted in conjunction with an Application for a State Gambling License (CGCC-030) and this Gambling Establishment Supplemental Background Investigation Information form (BGC-APP-015C). Originals are required unless otherwise stated. Only documents that are dated and signed by all parties will be accepted. Failure to provide complete documents may result in denial of a license/denial of suitability. Pursuant to Business and Professions Code section 19868(a), an official filing date will not be established until all required forms, documentation and fees have been received by the State.

- ☐ Background Investigation Deposit required in CCR, Title 11, Division 3, Chapter 1, Article 4, Section 2037
- ☐ Owner Supplemental Information form (BGC-APP-015A and/or 015B)
- ☐ Application for State Gambling License (CGCC-030) and a Trust Supplemental Background Investigation Information form (BGC-APP-143) if this gambling establishment is held by a trust.
- ☐ Declaration of Full Disclosure (BGC-APP-005 (Rev. 11/07))
- ☐ Authorization to Release Information (BGC-APP-006 (Rev. 07/17))
- ☐ Appointment of Designated Agent (BGC-APP-008 (Rev. 07/17)) (initial applications only)
- ☐ Organizational Chart - Show Names, Job Titles and Lines of Accountability
- ☐ Identification of Key Employees and a full and complete description of duties performed by persons occupying each key employee position (document must be signed by designated agent/owner licensee)
- ☐ Current Conditional Use Permit, if applicable - copy
- ☐ Current Local Gambling Establishment Business License or Permit – copy
- ☐ Chips In Use Account - a copy of the most recent statement of the financial institution account covering the chips in use
- ☐ Players' Bank Account - a copy of the most recent statement of the financial institution account covering the players' bank funds, if applicable
- ☐ Cardroom Security Plan/Cardroom Floor & Gambling Table Layout (see B&P Code section 19924) - copy
- ☐ Emergency Preparedness and Evacuation Plan (see CCR, Title 4, Section 12370) - copy
- ☐ Rules for all games and gaming activities, including a description of the event that determines the winner of the game or gaming activity, the wagering conventions, and the fee collection and assessment methods (see CCR, Title 11, Section 2071)
- ☐ Tax Returns - Signed and dated copies of the gambling establishment's state and federal tax returns for the past three years, including all schedules and attachments
- ☐ Current Balance Sheet and Income Statement
- ☐ Investment Account Statements – Copies of all monthly statements for all accounts corresponding to the same period of time reflected in the balance sheet and income statement

Pursuant to Business and Professions Code section 19867, an applicant is responsible for all costs incurred by the Bureau while conducting a background investigation for gambling license suitability. 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.

<u>A license will not be issued until all outstanding background investigation and issuance fees are received.</u>

SECTION 11: DECLARATION

I declare under penalty of perjury of the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate and complete, and that this declaration is executed by me at _____ on _____.
City and State *Date*

PRINT FULL NAME	SIGNATURE	DATE

SCHEDULE A - ASSETS
Cash

List all cash and where it is located, e.g. financial institutions (foreign and domestic), safe deposit boxes, etc.

Name & Address of Bank or Investment Account	Type of Account	Account Number	Date Opened	Names of Persons Who Have Signature Authority on Account	Balance
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 4.

Signature of Preparer _____ Date _____

SCHEDULE B - ASSETS
Stocks and Bonds

List all stocks, bonds, mutual funds, or other similar investments held or controlled.

Issuer	Registered Owner	Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	Number of Shares or Units	Current Market Value
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 4.

Signature of Preparer _____ Date _____

SCHEDULE C - ASSETS
Accounts and Notes Receivable

List all loans, accounts, and notes receivable.

Name & Address of Debtor	Date Acquired	Maturity Date (notes receivable)	Payment Amount and Payment Period (e.g. Weekly, Monthly)	Interest Rate	Original Amount	Unpaid Balance
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 4.

Signature of Preparer _____ Date _____

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 who share a direct, indirect, or vested interest. This should include, but not be limited to, joint ventures, partnerships, limited liabilities companies, and corporations.

Entity Name	Type of Entity	Number of Shares or Units	Name in which held	Percent of Ownership	Individuals or Entities Sharing Interest & Percentage Ownership	Date of Purchase	Purchase Price	Current Market Value
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							$	$
							TOTAL*:	$

*This total should match the corresponding total reported on page 4.

Signature of Preparer _____ Date _____

SCHEDULE E - ASSETS
Real Estate

List any direct or indirect interest held in real property.

Address or Parcel Number & Location	Type (Residential/Commercial)	Percentage of Ownership	Date of Purchase	Current Income (Rent/Lease) (Indicate per month, year, etc.)	Purchase Price	Current Market Value
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	$

*This total should match the corresponding total reported on page 4.

Signature of Preparer _____ Date _____

SCHEDULE F - ASSETS
Other Assets

List all other assets (e.g., art collections, coin collections, antiques, automobiles, etc.) held by the gambling establishment

Type of Asset	Description (e.g., serial numbers, VIN numbers)	Date of Purchase	Purchase Price	Current Market Value
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			TOTAL*:	$

*This total should match the corresponding total reported on page 4.

Signature of Preparer _____ Date _____

SCHEDULE G - LIABILITIES
Accounts Payable

List all accounts payable (e.g. revolving accounts, credit cards, leases, lines of credit).

Name and Address of Creditor	Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g. Weekly, Monthly, etc.)	Interest Rate	Unpaid Balance
						$
						$
						$
						$
						$
						$
						$
						$
					TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE H - LIABILITIES

Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., Franchise Tax Board/Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Amount	Fines, Penalties and Interest	Unpaid Balance
					$
					$
					$
					$
					$
					$
					$
					$
				TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE I - LIABILITIES

Notes Payable

List all notes payable.

Name and Address of Creditor	Date Incurred	Collateral	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Note Amount	Interest Rate	Unpaid Balance
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
					$		$
						TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE J - LIABILITIES
Mortgages Payable

List all mortgages or liens on real estate.

Name and Address of Creditor Account Number	Address or Parcel Number and Location of Real Estate	Date Incurred	Interest Rate	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Loan Amount	Unpaid Balance*
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL*:	

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

SCHEDULE K - LIABILITIES
Contingent and Other Liabilities

List any other indebtedness or liability, e.g., co-signer on a loan, pending litigation, etc.

Name and Address of Creditor	Date Incurred	Collateral	Description of Liability and Account Number	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Interest Rate	Original Amount	Unpaid Balance
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						$	$
						TOTAL*:	$

*This total should match the corresponding total reported on page 5.

Signature of Preparer _____ Date _____

Bureau of Gambling Control
Trust Supplemental Background Investigation Information

BGC-APP-143 (Rev. 07/17)

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

The Gambling Control Act requires any "person" who is an owner of a gambling enterprise to apply for and obtain a state gambling license. Business and Professions (B & P) Code section 19850.

A "trust" is a "person." B & P Code section 19805(ae) provides that:

> "Person," unless otherwise indicated, includes a natural person, corporation, partnership, limited partnership, trust, joint venture, association, or any other business organization. (Emphasis added.)

Thus, a trust that is an owner of a cardroom must be licensed, just as a limited partnership in the same position must be licensed. B & P Code section 19852 goes on to mandate that certain trust-related persons must also apply for and obtain a state gambling license before the trust itself can be licensed, and to authorize the Commission to require licensing of other specified trust-related persons. According to B & P Code section 19852, a trustee of a trust that is an owner of a gambling enterprise, must also apply for and obtain a state gambling license [B & P Code section 19852(e)]. Similarly, the Commission may in its discretion require that the trustor or the beneficiary of a trust that is an owner of a gambling enterprise apply for and obtain a state gambling license [B & P Code section 19852(e)].

"Trustor" means the same thing as "grantor," "donor," or "settlor": a person who creates a trust.

B & P Code section 19852, provides, in part:

Except as provided in Section 19852.2 [racetrack ownership], an owner of a gambling enterprise that is not a natural person shall not be eligible for a state gambling license unless each of the following persons individually applies for and obtains a state gambling license:

***

"(e) If the owner is a trust, then the trustee and, in the discretion of the commission, any beneficiary and the trustor of the trust." (Emphasis added.)

***

A current beneficiary must be licensed if either of the follows applies:

(1) The beneficiary receives a distribution from a trust that is an owner of a gambling enterprise. (B & P Code section 19850.)

(2) The beneficiary receives any percentage share of revenue from gambling activities. (B & P Code section 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.

A current beneficiary who falls in either of the two above-noted categories must submit the following forms:

- One Application for State Gambling License, BGC-030 (Rev. 04/13); and
- One Gambling Establishment Owner Applicant-Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 07/17).

NOTE: Pursuant to B & P Code section 19859(g), any person less than 21 years of age is disqualified from receiving a gambling 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 contingent or future beneficiary is not required to be licensed unless specifically directed to apply for a license by the Commission. However, a contingent or future beneficiary may elect to submit an application, if, for instance, the beneficiary wishes to avoid future delays in receiving income or a share in ownership from a cardroom when the future event occurs, for instance, the death of the current beneficiary.

The purpose of this Trust Supplemental Background Investigation Information form is to obtain information that is necessary to determine whether the applicant meets the requirements for licensure under state law. By completing this form, the applicant is providing information that will be used to make that determination.

This form is to be completed for all trusts. The trustee, trustor, and the beneficiary (if applicable) apply for licensure using the following forms:

- One Application for State Gambling License, BGC-030 (Rev. 04/13); and
- One Gambling Establishment Owner Applicant-Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 07/17).

If the trustee is also the trustor and the beneficiary, only one BGC-030 and one BGC-APP-015A form needs to be submitted. In this situation, the applicant will indicate in Section 4 of the BGC-030 form that he/she is applying in three separate capacities (trustee, trustor, and beneficiary).

The applicant must provide truthful information in all responses in this application. All answers to questions in this application, and all supplemental documentation provided by the applicant, will be subject to verification. Any misrepresentation or failure to disclose information required on this application may constitute sufficient cause for denial or revocation.

Type, or print legibly in blue or black ink, all information requested on this application. If a question does not apply to the applicant, write "N/A" (Not Applicable). Applications not fully and accurately completed will be returned to the applicant for completion.

Please send your completed Trust Supplemental Background Investigation Information form, along with a completed Authorization to Release Information form (BGC-APP-006 (Rev. 07/17)) to the California Gambling Control Commission at 2399 Gateway Oaks Drive, Suite 100, Sacramento, CA 95833-4231.

SECTION 1: TYPE OF TRUST AND TRUST INFORMATION

A) TRUST NAME	B) ORIGINAL DATE OF TRUST C) AMENDMENT DATE(S)	D) TYPE OF TRUST ☐ REVOCABLE ☐ IRREVOCABLE
E) NAME OF SUITABILITY APPLICANT (e.g., Cardroom, Proposition Player Provider)	F) RELATIONSHIP TO SUITABILITY APPLICANT (e.g., owner, shareholder, beneficiary)	

G) IF OTHER THAN ESTATE PLANNING, DESCRIBE THE PURPOSE OF THE TRUST.

H) EFFECTIVE DATE OF THE TRUST _____ _____
IF CONTINGENT, PLEASE EXPLAIN THE CONTINGENCY (e.g., death of the trustor)

I) CURRENT MARKET VALUE OF TRUST ASSETS (ESTIMATED) $_ __

J) TRUST TAX ID NUMBER	K) IS THE TRUST TAX ID NUMBER SEPARATE FROM THAT OF ANOTHER PERSON OR ENTITY? ... ☐ YES ☐ NO IF NO, COMPLETE BELOW; IF YES, GO TO SECTION 2.

1) NAME OF INDIVIDUAL (First, MI, Last) OR ENTITY ASSIGNED TAX ID NUMBER		2) RELATIONSHIP TO TRUST (e.g., trustor)	
3) ADDRESS (Number / Street / Apt)			
4) CITY	5) COUNTY	6) STATE	7) ZIP CODE

SECTION 2: TRUST STRUCTURE

LIST EACH TRUSTEE, TRUSTOR, AND BENEFICIARY. (If additional space is needed, attach a separate sheet of paper.)

A) INDIVIDUAL'S NAME (First, MI, Last) OR ENTITY NAME	B) ADDRESS (City, State, Zip Code)	C) SPECIFY TRUSTEE, TRUSTOR, AND/OR BENEFICIARY	D) CONTINGENT *
			☐ YES ☐ NO
			☐ YES ☐ NO
			☐ YES ☐ NO
			☐ YES ☐ NO
			☐ YES ☐ NO

* CHECK "YES" IF THE INDIVIDUAL'S STATUS OR INTEREST IN THE TRUST IS CONTINGENT ON A FUTURE EVENT (and describe the contingenc(ies)). IF A BENEFICIARY CURRENTLY RECEIVES INCOME FROM THE TRUST, THAT PERSON IS NOT A CONTINGENT BENEFICIARY.

SECTION 3: TRUST AUTHORITY

LIST EACH PERSON THAT HAS AUTHORITY OVER TRUST ASSETS AND/OR AUTHORITY OVER TRUST DISBURSEMENTS

A) INDIVIDUAL'S NAME (First, MI, Last) OR ENTITY NAME	B) DISCRETIONARY AUTHORITY OVER TRUST INVESTMENTS	C) SIGNATURE AUTHORITY OVER TRUST DISBURSEMENTS
	☐ YES ☐ NO	☐ YES ☐ NO
	☐ YES ☐ NO	☐ YES ☐ NO

D) NAME OF CONTACT PERSON FOR THE APPLICANT	PHONE NUMBER ( )	EMAIL ADDRESS (if any)

E) LIST THE NAME OF PERSON WHO PREPARES AND FILES THE TRUST'S FINANCIAL STATEMENTS AND TAX FORMS, IF APPLICABLE.	F) IS THIS PERSON AN INDEPENDENT CERTIFIED PUBLIC ACCOUNTANT? ☐ YES ☐ NO

DESCRIBE DUTIES: (e.g., bookkeeping, preparation of audited financial statements, investment manager)

G) IS THERE ANY COMMINGLING OF THE TRUST ASSETS WITH ASSETS NOT A PART OF THE TRUST? (If yes, provide details)..... ☐ YES ☐ NO

H) IS ANY TRUSTEE ALSO A BENEFICIARY OF THE TRUST? (If yes, provide details if not listed in Section 2.) ..... ☐ YES ☐ NO

SECTION 4: REQUIRED ADDITIONAL DOCUMENTATION

SUBMIT COMPLETED COPIES OF THE FOLLOWING DOCUMENTATION WITH THIS APPLICATION.

- ☐ THE TRUST DOCUMENT AND ALL AMENDMENTS (signed copies)
- ☐ A PLAIN ENGLISH 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.
- ☐ ITEMIZED LIST OF (A) ALL TRUST ASSETS AND THEIR CURRENT ESTIMATED FAIR MARKET VALUES AND (B) ALL TRUST LIABILITIES FOR THE 12-MONTH PERIOD PRECEDING THE DATE OF THIS APPLICATION.
- ☐ ITEMIZED LIST OF ALL TRUST INCOME AND EXPENSES, INCLUDING THEIR DOLLAR VALUES, FOR THE 12-MONTH PERIOD PRECEDING THE DATE OF THIS APPLICATION.
- ☐ ITEMIZED LIST OF ALL DISTRIBUTIONS AND DISPOSITIONS OF TRUST ASSETS FOR THE 12-MONTH PERIOD PRECEDING THE DATE OF THIS APPLICATION.
- ☐ IRS FORM 4506-T (available at www.irs.gov)

SECTION 5: DECLARATION/SIGNATURE

A PERSON HAVING AUTHORITY TO ACT ON BEHALF OF THE TRUST, INCLUDING THE AUTHORITY OVER TRUST INCOME AND ASSETS, MUST SIGN THIS FORM.

NAME AND TITLE OF PERSON COMPLETING THE APPLICATION: _____

I declare under penalty of perjury, under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, are true, accurate and complete, and that this declaration is executed by me at

_____ On _____

CITY AND STATE *DATE*

PRINT FULL NAME	SIGNATURE	DATE

State of California

DEPARTMENT OF JUSTICE

Key Employee Supplemental Background Investigation Information

BGC-APP. 016A (Rev. 10/17)

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

Business and Professions Code section 19854 requires every key employee to apply for and obtain a key employee license issued by the California Gambling Control Commission. The purpose of this Key Employee Supplemental Background Investigation Information form is to obtain information from you that is necessary to determine whether you meet the requirements for licensure under state law. By completing this form you are providing information that will be used to make that determination.

You must provide truthful information in all your responses in this application. All answers to questions in this application, and all supplemental documentation provided by you, will be subject to verification. Any misrepresentation or failure to disclose information required on this application may constitute sufficient cause for denial or revocation.

Type, or print legibly in blue or black ink, all information requested on this application. If a question does not apply to you, write "N/A" (Not Applicable). If the space available is insufficient, use a separate sheet of paper and precede each answer with the applicable section number.

Please send your completed Application for Gambling Establishment Key Employee License (CGCC-031) and the Key Employee Supplemental Background Investigation Information form, along with the items listed on Page 8 to:

California Gambling Control Commission
2399 Gateway Oaks Drive, Suite 220
Sacramento, CA 95833-4231

Affix a passport quality photograph taken within the last 30 days here.

PLEASE PRINT NAME ON BACK OF PHOTOGRAPH

_____
Your Full Name

_____
Name of Employer

_____
Job Title of Key Employee Position

_____
Date of Photograph

Key Employee Supplemental Background Investigation Information

SECTION 1: PERSONAL INFORMATION

FULL NAME LAST | FIRST | MIDDLE

ALIAS(ES), NICKNAME, MAIDEN NAME, OTHER NAME CHANGES, LEGAL OR OTHERWISE

CURRENT ADDRESS (NUMBER/STREET/APT) | CITY | STATE | ZIP

MAILING ADDRESS (NUMBER/STREET/APT) (IF DIFFERENT THAN CURRENT RESIDENCE) | CITY | STATE | ZIP

HOME PHONE NUMBER | WORK PHONE NUMBER | E-MAIL ADDRESS

BIRTH PLACE (CITY, COUNTY, STATE, COUNTRY) | DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER | STATE | EXPIRATION DATE

DATE OF BIRTH | SOCIAL SECURITY NUMBER* | GENDER ☐ MALE ☐ FEMALE

HEIGHT | WEIGHT | HAIR COLOR | EYE COLOR

DISTINGUISHING MARKS (SCARS, TATTOOS, ETC.) DESCRIBE AND INDICATE LOCATION

ARE YOU A U.S. CITIZEN ☐ YES ☐ NO | IF RESIDENT ALIEN OR NATURALIZED CITIZEN, PROVIDE I.N.S. REGISTRATION NUMBER, I.N.S. A-NUMBER OR USCIS A-NUMBER

* Your Social Security Number (SSN) will be used by the Bureau of Gambling Control (Bureau) pursuant to Business and Professions Code section 19855 for purposes of confirming your identity. If you fail to disclose your SSN, the Bureau will be unable to complete your background investigation.

SECTION 2: FAMILY/COHABITANTS INFORMATION

☐ SINGLE ☐ MARRIED ☐ SEPARATED ☐ DIVORCED ☐ WIDOWED

CURRENT SPOUSE

FULL NAME LAST | FIRST | MIDDLE | MAIDEN

DATE OF BIRTH | DATE OF MARRIAGE

FORMER SPOUSE

FULL NAME LAST | FIRST | MIDDLE | MAIDEN

DATE OF BIRTH | DATES OF MARRIAGE (FROM AND TO) | STATE DIVORCE FILED

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? ☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS:

A) FULL NAME LAST | FIRST | MIDDLE | RELATIONSHIP

PERCENTAGE OWNED AND/OR POSITION HELD | NAME OF BUSINESS

B) FULL NAME LAST | FIRST | MIDDLE | RELATIONSHIP

PERCENTAGE OWNED AND/OR POSITION HELD | NAME OF BUSINESS

C) FULL NAME LAST | FIRST | MIDDLE | RELATIONSHIP

PERCENTAGE OWNED AND/OR POSITION HELD | NAME OF BUSINESS

CHILDREN AND DEPENDENTS
PROVIDE THE FOLLOWING INFORMATION FOR EACH OF YOUR CHILDREN (INCLUDING BIRTH, STEP, ADOPTED, AND FOSTER CHILDREN) AND OTHER DEPENDENTS.

NAME (LAST, FIRST, MIDDLE, MAIDEN)	DATE OF BIRTH	RESIDENCE ADDRESS	RELATIONSHIP

SECTION 3: RESIDENCES

LIST ALL RESIDENCES DURING THE LAST 10 YEARS (*MOST RECENT FIRST, EXCLUDING YOUR CURRENT RESIDENCE*). PROVIDE COMPLETE ADDRESSES AND MARKERS SUCH AS STREET, DRIVE, ETC., AND UNIT OR APARTMENT NUMBER. DO NOT USE P.O. BOXES.

A) FORMER ADDRESS (NUMBER/STREET/APT)				FROM (MM/YYYY)	TO (MM/YYYY)
CITY		STATE	COUNTRY, IF OUTSIDE OF U.S.	ZIP	☐ OWN ☐ RENT
B) FORMER ADDRESS (NUMBER/STREET/APT)				FROM (MM/YYYY)	TO (MM/YYYY)
CITY		STATE	COUNTRY, IF OUTSIDE OF U.S.	ZIP	☐ OWN ☐ RENT
C) FORMER ADDRESS (NUMBER/STREET/APT)				FROM (MM/YYYY)	TO (MM/YYYY)
CITY		STATE	COUNTRY, IF OUTSIDE OF U.S.	ZIP	☐ OWN ☐ RENT

SECTION 4: EXPERIENCE AND EMPLOYMENT

BEGINNING WITH YOUR CURRENT EMPLOYMENT, LIST YOUR WORK HISTORY AND PERIODS OF UNEMPLOYMENT (INCLUDING EDUCATION) FOR THE PAST 10 YEARS. LIST ALL JOBS, INCLUDING PART-TIME, TEMPORARY, AND SELF-EMPLOYMENT. FOR UNEMPLOYED PERIODS, IN THE DUTIES/ASSIGNMENTS SECTION, EXPLAIN HOW YOU SUPPORTED YOURSELF.

A) NAME OF EMPLOYER				FROM (MM/YYYY)	TO (MM/YYYY)
JOB TITLE / DUTIES				GAMING RELATED? ☐ YES ☐ NO	
ADDRESS				SUPERVISOR	
CITY	STATE	ZIP		CONTACT NUMBER ( )	EXT
B) NAME OF EMPLOYER				FROM (MM/YYYY)	TO (MM/YYYY)
JOB TITLE / DUTIES				GAMING RELATED? ☐ YES ☐ NO	
ADDRESS				SUPERVISOR	
CITY	STATE	ZIP		CONTACT NUMBER ( )	EXT
REASON FOR LEAVING, IF TERMINATED, EXPLAIN THE CIRCUMSTANCES					

C) NAME OF EMPLOYER			FROM (MM/YYYY)	TO (MM/YYYY)
JOB TITLE / DUTIES			GAMING RELATED? ☐ YES ☐ NO	
ADDRESS			SUPERVISOR	
CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT
REASON FOR LEAVING, IF TERMINATED, EXPLAIN THE CIRCUMSTANCES				

D) NAME OF EMPLOYER			FROM (MM/YYYY)	TO (MM/YYYY)
JOB TITLE / DUTIES			GAMING RELATED? ☐ YES ☐ NO	
ADDRESS			SUPERVISOR	
CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT
REASON FOR LEAVING, IF TERMINATED, EXPLAIN THE CIRCUMSTANCES				

SECTION 5: MILITARY EXPERIENCE

HAVE YOU EVER SERVED IN THE U.S. ARMED FORCES? (IF YES, PROVIDE DETAILS BELOW AND ATTACH A COPY OF YOUR "UNDELETED" MILITARY FORM DD-214. (i.e. a complete copy of the form with no information blacked out)	☐ YES ☐ NO
BRANCH OF SERVICE	DATES OF SERVICE (MM/YYYY) FROM TO
RANK AT SEPARATION	SSN / SERVICE NUMBER
TYPE OF DISCHARGE: ☐ ENTRY LEVEL ☐ HONORABLE ☐ GENERAL ☐ OTHER THAN HONORABLE ☐ BAD CONDUCT ☐ DISHONORABLE ☐ OTHER: _____	
HAVE YOU EVER BEEN CONVICTED IN A COURT-MARTIAL? IF YES, PROVIDE DETAILS BELOW..	☐ YES ☐ NO

SECTION 6: CRIMINAL CONVICTIONS, LITIGATION, AND ARBITRATION

HAVE YOU EVER BEEN **CONVICTED** OF A CRIME OR PLED GUILTY, OR PLED NOLO CONTENDERE (NO CONTEST) TO A CRIME? INCLUDE ANY CONVICTIONS REDUCED OR EXPUNGED, **UNLESS** THE RECORDS HAVE BEEN SEALED PURSUANT TO A COURT ORDER. (DO NOT INCLUDE VEHICLE CODE INFRACTIONS). IF YES, PROVIDE DETAILS FOR EACH INCIDENT BELOW.		☐ YES ☐ NO
A) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY)	ARRESTING AGENCY	COURT LOCATION (CITY AND STATE)
IDENTIFY CRIME(S), INDICATE MISDEMEANOR OR FELONY		
B) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY)	ARRESTING AGENCY	COURT LOCATION (CITY AND STATE)
IDENTIFY CRIME(S), INDICATE MISDEMEANOR OR FELONY		
C) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY)	ARRESTING AGENCY	COURT LOCATION (CITY AND STATE)
IDENTIFY CRIME(S), INDICATE MISDEMEANOR OR FELONY		

HAVE YOU EVER BEEN REMOVED FROM OR PROHIBITED FROM ENTERING THE PREMISES OF ANY GAMING OR PARI-MUTUEL WAGERING ESTABLISHMENT BY ANY GOVERNMENT REPRESENTATIVE, AGENCY, OR GAMBLING ESTABLISHMENT?	☐ YES ☐ NO
HAVE YOU EVER ENGAGED IN BOOKMAKING OR OTHER ILLEGAL GAMBLING ACTIVITIES?	☐ YES ☐ NO
HAVE YOU EVER BEEN FOUND IN VIOLATION OF ANY CAMPAIGN LAWS?	☐ YES ☐ NO
IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS BELOW.	
HAVE YOU EVER BEEN A PARTY TO ANY LITIGATION OR ARBITRATION? IF YES, PROVIDE THE FOLLOWING DETAILS. YOU ARE NOT OBLIGATED TO REVEAL DETAILS OF ANY CONFIDENTIAL ARBITRATION.	☐ YES ☐ NO

A) APPROXIMATE DATE FILED (MM/DD/YYYY)	PARTIES INVOLVED	COURT LOCATION (CITY AND STATE)
CASE NUMBER	DISPOSITION DATE (MM/DD/YYYY)	
B) APPROXIMATE DATE FILED (MM/DD/YYYY)	PARTIES INVOLVED	COURT LOCATION (CITY AND STATE)
CASE NUMBER	DISPOSITION DATE (MM/DD/YYYY)	

SECTION 7: OTHER LICENSING INFORMATION

HAVE YOU EVER HELD OR APPLIED FOR A PERMIT, LICENSE, CERTIFICATE, REGISTRATION OR FINDING OF SUITABILITY RELATED TO GAMING? INCLUDE ANY ACTIONS BY THE CALIFORNIA GAMBLING CONTROL COMMISSION. IF YES, PROVIDE THE FOLLOWING DETAILS.	☐ YES ☐ NO

A) LICENSE/PERMIT/CERTIFICATE -NUMBER	TYPE OF APPLICATION	DATES HELD FROM (MM/YYYY) TO (MM/YYYY)	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY	ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)		
IF DENIED, SUSPENDED, WITHDRAWN, OR REVOKED, EXPLAIN THE CIRCUMSTANCES.			
B) LICENSE/PERMIT/CERTIFICATE -NUMBER	TYPE OF APPLICATION	DATES HELD FROM (MM/YYYY) TO (MM/YYYY)	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY	ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)		
IF DENIED, SUSPENDED, WITHDRAWN, OR REVOKED, EXPLAIN THE CIRCUMSTANCES.			

HAVE YOU EVER HELD OR APPLIED FOR A LICENSE, PERMIT, CERTIFICATE, REGISTRATION OR AUTHORIZATION NOT RELATED TO GAMING? IF YES, PROVIDE THE FOLLOWING DETAILS	☐ YES ☐ NO

A) LICENSE/PERMIT/CERTIFICATION/AUTHORIZATION NO.	TYPE OF APPLICATION	DATES HELD FROM (MM/YYYY) TO (MM/YYYY)	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY	ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)		
IF DENIED, SUSPENDED,WITHDRAWN, OR REVOKED, EXPLAIN THE CIRCUMSTANCES			
B) LICENSE/PERMIT/CERTIFICATION/AUTHORIZATION NO.	TYPE OF APPLICATION	DATES HELD FROM (MM/YYYY) TO (MM/YYYY)	ISSUING AGENCY
CITY, COUNTY, STATE, COUNTRY	ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER)		
IF DENIED, SUSPENDED, WITHDRAWN, OR REVOKED, EXPLAIN THE CIRCUMSTANCES.			

SECTION 8: BUSINESS INTEREST – GAMING RELATED

HAVE YOU HELD A FINANCIAL INTEREST OR STOCK IN ANY GAMING RELATED VENTURE OR BUSINESS WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH A SEPARATE SHEET OF PAPER INDENTIFYING THE INDIVIDUALS SHARING INTEREST IN THE BUSINESS/VENTURE AND THEIR RESPECTIVE PERCENT OF OWNERSHIP.

A) NAME OF BUSINESS ENTITY	DATES INVOLVED FROM (MM/YYYY) TO (MM/YYYY)	BUSINESS ENTITY MAILING ADDRESS
BUSINESS TELEPHONE NUMBER	AMOUNT OF MONEY INVESTED	IDENTIFY SOURCE OF MONIES FOR YOUR INITIAL AND SUBSEQUENT INVESTMENTS (IF LOANS, PROVIDE COPIES OF AGREEMENTS. IF CHECKING OR SAVINGS, IDENTIFY SOURCE [I.E. WAGES, INHERITANCE, ETC.])
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF BUSINESS	% OF OWNERSHIP/NUMBER OF SHARES OWNED
B) NAME OF BUSINESS ENTITY	DATES INVOLVED FROM (MM/YYYY) TO (MM/YYYY)	BUSINESS ENTITY MAILING ADDRESS
BUSINESS TELEPHONE NUMBER	AMOUNT OF MONEY INVESTED	IDENTIFY SOURCE OF MONIES FOR YOUR INITIAL AND SUBSEQUENT INVESTMENTS (IF LOANS, PROVIDE COPIES OF AGREEMENTS. IF CHECKING OR SAVINGS, IDENTIFY SOURCE [I.E. WAGES, INHERITANCE, ETC.])
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF BUSINESS	% OF OWNERSHIP/NUMBER OF SHARES OWNED

SECTION 9: BUSINESS INTEREST – NON-GAMING RELATED

LIST ALL BUSINESSES, CORPORATIONS, PARTNERSHIPS, AND LIMITED LIABILITY COMPANIES IN WHICH YOU HAVE HAD A FINANCIAL INTEREST AS AN OWNER, OFFICER, DIRECTOR, ACTIVE SHAREHOLDER, PARTNER, MEMBER, OR OTHER SIMILAR CAPACITY WITHIN THE LAST 10 YEARS.

A) NAME OF BUSINESS CORPORATION/PARTNERSHIP	DATES INVOLVED FROM (MM/YYYY) TO (MM/YYYY)	BUSINESS CORPORATION/PARTNERSHIP MAILING ADDRESS
BUSINESS TELEPHONE NUMBER	AMOUNT OF MONEY INVESTED	IDENTIFY SOURCE OF MONIES FOR YOUR INITIAL AND SUBSEQUENT INVESTMENTS (IF LOANS, PROVIDE COPIES OF AGREEMENTS. IF CHECKING OR SAVINGS, IDENTIFY SOURCE [I.E. WAGES, INHERITANCE, ETC.]).
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF BUSINESS	% OF OWNERSHIP/# NUMBER OF SHARES OWNED
B) NAME OF BUSINESS CORPORATION/PARTNERSHIP	DATES INVOLVED FROM (MM/YYYY) TO (MM/YYYY)	BUSINESS CORPORATION/PARTNERSHIP MAILING ADDRESS
BUSINESS TELEPHONE NUMBER	AMOUNT OF MONEY INVESTED	IDENTIFY SOURCE OF MONIES FOR YOUR INITIAL AND SUBSEQUENT INVESTMENTS (IF LOANS, PROVIDE COPIES OF AGREEMENTS. IF CHECKING OR SAVINGS, IDENTIFY SOURCE [I.E. WAGES, INHERITANCE, ETC.]).
YOUR CAPACITY/TITLE	PRIMARY PURPOSE OF BUSINESS	% OF OWNERSHIP/# NUMBER OF SHARES OWNED

SECTION 10: PERSONAL FINANCIAL HISTORY

HAVE YOU FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS? ☐ YES ☐ NO

IF YES, PROVIDE A COPY OF THE BANKRUPTCY PETITION/ORDER AND DETAILS BELOW.

DATE FILED (MM/DD/YYYY)	CASE NUMBER, IF KNOWN	
FEDERAL DISTRICT COURT WHERE FILED	DATE OF DISCHARGE (MM/YYYY)	AMOUNT DISCHARGED, IF APPLICABLE
EXPLAIN THE CIRCUMSTANCES THAT LED TO THE BANKRUPTCY FILING, INCLUDE THE NATURE OF THE DEBT.		

HAVE YOU BEEN A PARTY TO A FORECLOSURE WITHIN THE LAST 10 YEARS? IF YES, PROVIDE DETAILS BELOW.	☐ YES ☐ NO

ADDRESS OF FORECLOSED PROPERTY	DATE OF FORECLOSURE (MM/YYYY)	NAME OF LENDER	BALANCE OWED

EXPLAIN THE CIRCUMSTANCES THAT LED TO THE FORECLOSURE.

HAVE YOU HAD A JUDGMENT OR LIEN FILED AGAINST YOU WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE DETAILS BELOW.	☐ YES ☐ NO

	DATE FILED (MM/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE LIEN/JUDGMENT
☐ LIEN ☐ JUDGMENT		

EXPLAIN THE REASON FOR THE LIEN/JUDGMENT. IF LIEN/JUDGMENT HAS NOT BEEN 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 LIEN/JUDGMENT.

	DATE FILED (MM/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE LIEN/JUDGMENT
☐ LIEN ☐ JUDGMENT		

EXPLAIN THE REASON FOR THE LIEN/JUDGMENT. IF LIEN/JUDGMENT HAS NOT BEEN 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 LIEN/JUDGMENT.

HAVE YOU HAD ANY PURCHASE REPOSSESSED OR HAD AN UNPAID DEBT/LOAN TURNED OVER TO A COLLECTION AGENCY OR DEEMED UNCOLLECTABLE (CHARGED-OFF) FOR ANY REASON WITHIN THE LAST 10 YEARS? IF YES, PROVIDE DETAILS BELOW.	☐ YES ☐ NO

NAME OF CREDITOR	ACTION TAKEN (REPO/COLLECTION/CHARGE-OFF)	DATE OF ACTION (MM/YYYY)	CURRENT AMOUNT OWED

EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENTATION SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN ON REPAYING THE DEBT(S).

DO YOU OWN, CONTROL, OR MANAGE ANY ASSETS OR LIABILITIES OUTSIDE THE UNITED STATES? IF YES, PROVIDE THE FOLLOWING DETAILS BELOW.	☐ YES ☐ NO

A) DESCRIPTION OF ASSET/LIABILITY

DATE ACQUIRED (MM/YYYY)	LOCATION

B) DESCRIPTION OF ASSET/LIABILITY

DATE ACQUIRED (MM/YYYY)	LOCATION

SECTION 11: SUPPORTING DOCUMENTATION CHECKLIST
The following items must be submitted with this completed form, as applicable. Original documents are required unless otherwise stated. Only documents that are dated and signed by all parties will be accepted. Failure to provide required items may result in denial of your application. This application will not be deemed complete until all required items have been received. Mark the box next to each enclosed item.
☐ Authorization to Release Information (BGC-APP. 006 [Rev. 07/17])
☐ Request for Live Scan Service (BCII 8016, Rev. 03/07)
☐ Military Form DD-214 (A complete "undeleted" copy with no information blacked out)
☐ Resident Card, Employment Authorization Card (front and back copy) or Certificate of Naturalization (front copy)
☐ Any active cardroom license, work permit, badge, 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 (copy)
☐ Federal Individual and Business Tax Returns – Including all schedules and attachments for the last three years (copy)
☐ Monthly Bank Statements for all personal and business accounts for the last 12 months (copy)
☐ Monthly/Quarterly Investment Statements for all personal and business accounts for the last 12 months (copy)
☐ Loan Agreements (copy)
☐ Bankruptcy Court Petition and Order (copy)
Additional documentation may be required by the Bureau of Gambling Control.

Pursuant to Business and Professions Code section 19867, you are responsible for all costs incurred by the Bureau related to its background investigation. At the conclusion of the investigation, an itemized accounting of all such costs will be provided. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required background investigation deposit(s) and application fee are received.

SECTION 12: DECLARATION		
I declare under penalty of perjury of the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate and complete, and that this declaration is executed by me at _____ _____ on_____. *City and State* *Date*		
SIGNATURE	PRINT FULL NAME	DATE

SCHEDULE A – ASSETS

Gross Annual Household Income

Type of Income	Applicant	Spouse/Other
Current Gross Annual Income	$	$
Business Income (Explain Type of Business)	$	$
Interest Income	$	$
Dividend Income	$	$
Rental Income	$	$
Child Support	$	$
Gifts	$	$
Spousal Support/Alimony	$	$
Other (Specify)	$	$
Total Gross Income	$	$
DO YOU RECEIVE BONUSES OR PROFIT SHARING BASED ON A PERCENTAGE OF REVENUE GENERATED FROM A GAMING ACTIVITY?		☐ YES ☐ NO

Signature of Preparer _____ Date _____

SCHEDULE B - ASSETS
Cash

List all cash and where it is located (e.g., financial institutions [foreign and domestic], safe deposit boxes, house/office safe, etc.).

Name and Address Where the Funds are Held	Type of Account	Last 6 Digits of Account Number	Date Opened	Names of Persons Who Have Signature Authority on Account	Balance
					$
					$
					$
					$
					$
				TOTAL:	$

SCHEDULE C - ASSETS
Stocks and Bonds

List all stocks, bonds, mutual funds, or other similar investments held or controlled.

Issuer	Registered Owner	Last 6 Digits of Account Number	Type (Note if stocks, bonds, mutual funds, etc.)	Number of Shares or Units	Current Market Value
					$
					$
					$
					$
					$
				TOTAL:	$

Signature of Preparer _____ Date _____

SCHEDULE D – ASSETS
Accounts and Notes Receivable

List all loans, accounts, and notes receivable (monies owed to you). Please submit copies of loan agreements for any loans between private parties not secured through a financial institution.

Name and Address of Debtor	Date Acquired	Maturity Date (Notes Receivable)	Payment Amount and Payment Period (e.g. Weekly, Monthly)	Interest Rate	Original Amount	Balance
					$	$ AS OF DATE
					$	$ AS OF DATE
					$	$ AS OF DATE
					TOTAL:	$

SCHEDULE E - ASSETS
Real Estate

List any direct or indirect interest held in real property by yourself, your spouse, or your dependent children.

Address or Parcel Number and Location	Type (Residential or Commercial)	Percentage of Ownership	Date of Purchase	Current Income (Rent/Lease) per month	Down Payment	Purchase Price	Current Market Value
					$	$	$
Identify the source of funds for the down payment:							
					$	$	$
Identify the source of funds for the down payment:							
					$	$	$
Identify the source of funds for the down payment:							
						TOTAL:	$

Signature of Preparer _____ Date _____

SCHEDULE F - ASSETS
Other Assets

List all other assets (e.g., art collections, coin collections, antiques, automobiles, etc.)

Type of Asset	Description	Date of Purchase	Purchase Price	Current Market Value
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			TOTAL:	$

SCHEDULE G - LIABILITIES
Accounts Payable

List all accounts payable (e.g., revolving accounts, credit cards, lines of credit, etc.).

Name and Address of Creditor	Last 6 Digits of Account Number	Collateral	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Unpaid Balance
					$
					$
					$
					$
					$
					$
					$
				TOTAL:	$

Signature of Preparer _____ Date _____

SCHEDULE H - LIABILITIES
Taxes Payable

List all unpaid and estimated taxes.

Taxing Authority (e.g., Franchise Tax Board, Internal Revenue Service/Board of Equalization, etc.)	Related Tax Period	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Amount	Fines, Penalties, and Interest	Unpaid Balance
					$
					$
					$
					$
					$
					$
					$
				TOTAL:	$

SCHEDULE I - LIABILITIES
Notes Payable

List all loans, leases, accounts, and notes payable (loans owed by you).

Name and Address of Creditor	Date Incurred	Maturity Date	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Note Amount	Interest Rate	Unpaid Balance
				$		$
				$		$
				$		$
				$		$
				$		$
				$		$
				$		$
					TOTAL:	$

Signature of Preparer _____ Date _____

SCHEDULE J - LIABILITIES
Mortgages Payable

List all mortgages or liens on real estate.

Name and Address of Creditor Account Number	Address or Parcel Number and Location of Real Estate	Date Incurred	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Loan Amount	Unpaid Balance
				$	$
				$	$
				$	$
				$	$
				$	$
				$	$
				$	$
				$	$
				TOTAL:	$

SCHEDULE K - LIABILITIES
Contingent and Other Liabilities

List any other indebtedness or liability (e.g., cosigner on a loan, pending litigation, child support, alimony, etc.).

Name and Address of Creditor	Date Incurred	Collateral	Description of Liability and Last 6 Digits of Account Number	Payment Amount & Payment Period (e.g., Weekly, Monthly, etc.)	Original Amount	Unpaid Balance
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					$	$
					TOTAL:	$

Signature of Preparer _____ Date _____

DEPARTMENT OF JUSTICE
BUREAU OF GAMBLING CONTROL
(916) 830-1700

KEY EMPLOYEE REPORT

Submitted pursuant to California Code of Regulations, Title 11, Division 3, Chapter 1, section 2060
(Type or print clearly in ink.)

1. Name of Gambling Establishment: _____
2. Identify every individual who is, or who has been since the filing of the previous report, actively engaged in the administration or supervision of the gambling establishment's operation as defined in Business and Professions Code section 19805(x). Attach additional sheets as necessary.

Employee Name	Social Security Number	Job Title	Description of job duties, responsibilities and authority.

_____ _____
Signature of Owner Licensee/ Designated Agent Date

_____
Print Name/Title

CHAPTER 7: APPENDIX A (PROPOSED FORMS)

Request for Statewide Involuntary Exclusion of an Individual

CGCC-CH7-01 (New 05/20)

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)

PRINTED NAME	TITLE	GAMBLING ESTABLISHMENT, FACILITY NAME, OR GOVERNMENTAL ENTITY

Notice of Relocation

CGCC-CH7-02 (New 05/20)

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)

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)

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)

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)	$

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)

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)

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: ☐ ONE YEAR ☐ LIFETIME

☐ Restrict me from any MARKETING or PROMOTIONAL information
☐ Restrict me from this GAME or GAMING ACTIVITY _____
☐ Restrict me from any CHECK-CASHING privileges; or, limit as follows: _____
☐ 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.

<u>If I Choose Total Restriction</u>

_____ (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 _____, 20 _____, By _____, ☐ Personally known to me. OR ☐ Proved to me on the basis of satisfactory evidence to be the person who appeared before me.		As a Key Employee of _____ (name of gambling establishment or participating facility), I affirm that on _____ 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.
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)

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: ☐ ONE YEAR ☐ LIFETIME

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

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:

OR

WITNESS BY KEY EMPLOYEE

As a Key Employee of _____ (name of gambling establishment or participating facility), I affirm that on _____ 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)

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

_____ (INITIAL HERE) I voluntarily seek to remove myself from the list of self-excluded persons.

_____ (INITIAL HERE) I understand that a cardroom business licensee is not required to allow me re-admittance for the purpose of gambling, at 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.

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)

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)

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 (REPEALED FORMS)

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

SELF-RESTRICTION REQUEST
CGCC – 036 (Rev. 02/15)

RESTRICTION FOR_____ (Name of cardroom or participating gambling facility)

Disclaimer: This request only pertains to the above gambling establishment and does not apply statewide.

Type or print (in ink) all information requested on this form.
If additional space is needed, please note response on a separate sheet of paper and attach to the form.

SECTION 1: PERSONAL INFORMATION

Full Legal Name:

First	Middle	Last
Other Names (Former Names, such as Maiden names, Nicknames, or Aliases / A.K.A's.):		
Street	City	State / Zip Code
Home Telephone Number	Business Number	Email Address
Games most often played		

Mailing Address (*if different than Home Address*):

Street	City	State / Zip Code

SECTION 2: RESTRICTION REQUEST

INITIAL REQUESTED TERM: One Year _____ Lifetime _____

- ☐ Restrict me from any MARKETING or PROMOTIONAL information
- ☐ Restrict me from this GAME or GAMING ACTIVITY: _____
- ☐ Restrict me from any CHECK-CASHING privileges; or, limit as follows: _____
- ☐ Restrict me from any CREDIT; or, limit as follows: _____
- ☐ TOTAL RESTRICTION (restrict me from all of the above)

SECTION 3: PHOTO AND VISUAL DESCRIPTION

Gender: Male ☐ Female ☐

Date of Birth	Race/Ethnicity

Date of Photograph	Height	Weight	Hair Color/Type	Eye Color
	CA Drivers License	Type of vehicle normally driven		License Plate Number
	Distinguishing marks (such as visible scars or tattoos – describe mark & location)			

AFFIX A RECENT PASSPORT QUALITY PHOTOGRAPH HERE SHOWING HEAD AND SHOULDERS OF PERSON TO BE EXCLUDED

SECTION 4: DECLARATION

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 Gambling Enterprise 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 Gambling Enterprise, 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 Gambling Enterprise or participating gambling facility during the term of restriction, once identified, I shall 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 Gambling Enterprise 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.

I declare that all information submitted on or with this self-restriction form is true, correct, and complete.

Signature	Date
Print Name	

SECTION 5: NOTARIZATION

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

OR

WITNESS BY KEY EMPLOYEE

As a Key Employee of _____, I affirm that on
(name of 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 _____

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

SELF-EXCLUSION REQUEST

CGCC – 037 (Rev. 07/17)

Disclaimer: This request applies to all gambling establishments licensed by the California Gambling Control Commission.

Type or print (in ink) all information requested on this form.

If additional space is needed, please note response on a separate sheet of paper and attach to the form.

Please submit this completed form to any cardroom or participating gambling facility employee, to an employee of the Bureau of Gambling Control, or mail to:

BUREAU OF GAMBLING CONTROL, Post Office Box 168024, Sacramento, CA 95816-8024.

SECTION 1: PERSONAL INFORMATION

Full Legal Name:

First	Middle	Last
Other Names (Former Names, such as Maiden names, Nicknames, or Aliases / A.K.A's.):		
Street	City	State / Zip Code
Home Telephone Number	Business Number	Email Address
Games most often played		

Mailing Address (*if different than Home Address*):

Street	City	State / Zip Code

SECTION 2: TERM OF EXCLUSION

Please Initial Requested Term: One Year _____ Lifetime _____

SECTION 3: PHOTO AND VISUAL DESCRIPTION

Gender: Male ☐ Female ☐

Date of Birth	Race/Ethnicity

Date of Photograph	Height	Weight	Hair Color/Type	Eye Color

CA Driver's License	Type of vehicle normally driven	License Plate Number

Distinguishing marks (such as visible scars or tattoos – describe mark & location)

AFFIX A RECENT PASSPORT QUALITY PHOTOGRAPH HERE SHOWING HEAD AND SHOULDERS OF PERSON TO BE EXCLUDED

SECTION 4: DECLARATION

I understand English or have had an interpreter read and explain this form to me in_____.
(Language)

_____ (Initial here) I voluntarily seek to exclude myself as specified in Section 2 of this form.

_____ (Initial here) I agree that I will not attempt to enter or use any of the services or privileges of a California Gambling Establishment or participating gambling facility during the period specified in Section 2.

_____ (Initial here) I acknowledge and understand that should I attempt to enter any Gambling Establishment or participating gambling facility or use the services of any Gambling Enterprise or participating gambling facility during the Term of Exclusion, once identified, I shall 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 Gambling Enterprise 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. 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-038 (Rev. 07/17).

I will not seek to hold the gambling enterprise 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 Gambling Enterprise 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.

Signature	Date
Print Name	

SECTION 5: NOTARIZATION

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

OR

WITNESS BY KEY EMPLOYEE

As a Key Employee of_____, I affirm that on
(name of 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 _____

PRIVACY NOTICE

THE INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTION 1798.17) AND THE FEDERAL PRIVACY ACT (PUBLIC LAW 93-579) REQUIRE THAT THIS NOTICE BE PROVIDED WHEN COLLECTING PERSONAL INFORMATION FROM INDIVIDUALS. INFORMATION REQUESTED ON THIS FORM IS REQUIRED BY THE STATE OF CALIFORNIA, CALIFORNIA GAMBLING CONTROL COMMISSION AND THE DEPARTMENT OF JUSTICE, DIVISION OF LAW ENFORCEMENT, BUREAU OF GAMBLING CONTROL (BUREAU), PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19825 AND 19866. THE BUREAU USES THIS INFORMATION TO DETERMINE AN APPLICANT'S SUITABILITY. FAILURE TO PROVIDE MANDATORY INFORMATION MAY RESULT IN THE ABANDONMENT OR DENIAL OF YOUR APPLICATION. MORAL INFORMATION SHOULD ONLY BE PROVIDED IN THE SPACES INDICATED. THE BUREAU IS RESPONSIBLE FOR MAINTENANCE OF THE COMPLETED FORM.

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

THE DEPARTMENT OF JUSTICE'S GENERAL POLICY IS AVAILABLE AT: **http://oag.ca.gov/privacy-policy**. YOU MAY REVIEW THE RECORDS MAINTAINED BY THE BUREAU THAT CONTAIN YOUR PERSONAL INFORMATION, AS PERMITTED BY THE INFORMATION PRACTICES ACT. FOR QUESTIONS REGARDING THIS NOTICE OR ACCESS TO YOUR RECORDS, YOU MAY CONTACT THE BUREAU AT (916) 650-2700.

State of California
2399 Gateway Oaks Drive, Suite 220
Sacramento, CA 95833-4231
(916) 263-0700; Fax: (916) 263-0452
www.cgcc.ca.gov

Self-Exclusion Removal Request

CGCC – 038 (Rev. 07/17)

Type or print (in ink) all information requested on this form.
If additional space is needed, please note response on a separate sheet of paper and attach to this completed form.
Please mail this completed form to: **BUREAU OF GAMBLING CONTROL, Post Office Box 168024, Sacramento, CA 95816-8024.**

SECTION 1: PERSONAL INFORMATION

Full Legal Name:

First	Middle	Last

Other Names (Former Names, such as Maiden names, Nicknames, or Aliases / A.K.A's.):

Street	City	State	Zip Code

Home Telephone Number	Business Number	Email Address

Mailing Address (*if different than Home Address*):

Street	City	State	Zip Code

SECTION 2: EXCLUSION

Effective date of exclusion: _____

SECTION 3: DECLARATION

I understand English or have had an interpreter read and explain this form to me in_____.
(Language)

_____ (Initial here) I voluntarily seek to remove myself from the list of self-excluded persons.

_____ (Initial here) I understand that a gambling establishment is not required to allow me re-admittance for the purpose of gambling, at their sole discretion.

_____ (Initial here) I understand that my removal from the list of self-excluded persons will not be effective until I have received an acknowledgement from the Department of Justice, Bureau of Gambling Control.

I agree to indemnify the State of California, the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling and any gambling enterprise for any liability relating to this request. Specifically, I for myself, my heirs, executors, administrators, successors, and assigns, hereby release and forever discharge the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling, the Gambling Enterprise 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-exclusion removal request form is true, correct, and complete.

Signature	Date

Print Name

PRIVACY NOTICE

THE INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTION 1798.17) AND THE FEDERAL PRIVACY ACT (PUBLIC LAW 93-579) REQUIRE THAT THIS NOTICE BE PROVIDED WHEN COLLECTING PERSONAL INFORMATION FROM INDIVIDUALS. INFORMATION REQUESTED ON THIS FORM IS REQUIRED BY THE STATE OF CALIFORNIA, CALIFORNIA GAMBLING CONTROL COMMISSION AND THE DEPARTMENT OF JUSTICE, DIVISION OF LAW ENFORCEMENT, BUREAU OF GAMBLING CONTROL (BUREAU), PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19825 AND 19866. THE BUREAU USES THIS INFORMATION TO DETERMINE AN APPLICANT'S SUITABILITY. FAILURE TO PROVIDE MANDATORY INFORMATION MAY RESULT IN THE ABANDONMENT OR DENIAL OF YOUR APPLICATION. PERSONAL INFORMATION SHOULD ONLY BE PROVIDED IN THE SPACES INDICATED. THE BUREAU IS RESPONSIBLE FOR MAINTENANCE OF THE COMPLETED FORM.

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

THE DEPARTMENT OF JUSTICE'S GENERAL POLICY IS AVAILABLE AT: http://oag.ca.gov/privacy-policy. YOU MAY REVIEW THE RECORDS MAINTAINED BY THE BUREAU THAT CONTAIN YOUR PERSONAL INFORMATION, AS PERMITTED BY THE INFORMATION PRACTICES ACT. FOR QUESTIONS REGARDING THIS NOTICE OR ACCESS TO YOUR RECORDS, YOU MAY CONTACT THE BUREAU AT (916) 650-2700.

State of California
California Gambling Control Commission
2399 Gateway Oaks Drive, Suite 220
Sacramento, CA 95833
(916) 263-0700; Fax: (916) 263-0452
www.cgcc.ca.gov

NOTICE OF RELOCATION

CGCC–050 (New 06/12)

To notify the Bureau of Gambling Control (Bureau) of a change in the physical location of a gambling establishment (as required in Title 4, CCR, Section 12364)), complete this form, attach the required information referenced in Sections 2 and 3, and submit to **Bureau of Gambling Control, Post Office Box 168024, Sacramento, CA 95816-8024.**

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.

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).

Type or print (in ink) all required information on this form.

SECTION 1 – INFORMATION	
Name of Owner-Licensee:	License Number:
Name of Gambling Establishment:	
Previous Address:	
NEW Address:	
NEW Phone Number (if applicable):	**NEW** Fax Number (if applicable):
Date of Commencement of Operations in New Location:	
Local Jurisdiction:	
The new address of the gambling establishment: ☐ *IS NOT* within 1000 feet of the boundary line of the local jurisdiction. (Proceed to Sections 2 and 4) ☐ *IS* within 1000 feet of the boundary line of the local jurisdiction. (Proceed to 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 licensee's ownership of the building.
- ☐ A copy of the 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 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 Section 12364(b)(2)(A).
- ☐ The appropriate individual has signed below confirming no objections to the proposed location pursuant to Section 12364(b)(2)(A).
- ☐ A notice has been provided to the neighboring jurisdiction pursuant to Section 12364(b)(2)(B). A copy of the notice and proof of receipt to the neighboring jurisdiction is attached to this application.
- ☐ The relocation is exempt pursuant to Section 12364(b)(2)(C).

_____ _____
Signature **Date**

_____
Printed Name

_____
Title / Department

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 – DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete, and that I am authorized to submit this information to the Bureau.

Signature: _____ *Date:* _____

Printed Name and Title: _____

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

Request for Statewide Involuntary Exclusion of an Individual
CGCC – 12362 (Rev. 05/11)

Type or print (in ink) as much information as possible on this form. 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.
Mail this completed form to: **California Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, Sacramento CA 95833.**

SECTION 1: PERSONAL INFORMATION

Full Legal Name:

First | Middle (if applicable) | Last

Other Names (Former Names (such as Maiden names), Nicknames, or Aliases / A.K.A.'s):

Home Address:

Street | City | State | Zip Code

Mailing Address (*if different than Home Address*):

Street | City | State | Zip Code

Home Telephone Number: ( )

Business Number: ( )

Games most often played:

SECTION 2: PHOTO AND VISUAL DESCRIPTION

Gender: Male ☐ Female ☐ Date of Birth: / / Race/Ethnicity:

Height: Weight: Hair Color/Type: Eye Color:

AFFIX A RECENT PASSPORT QUALITY PHOTOGRAPH HERE SHOWING HEAD AND SHOULDERS OF PERSON TO BE EXCLUDED

Date of Photograph: / / CA Drivers License or other ID

Distinguishing marks (such as visible scars or tattoos – describe mark & location):

Type of vehicle normally driven: License Plate:

SECTION 3: AFFIRMATION BY KEY EMPLOYEE OR OWNER OR BY GOVERNMENT EMPLOYEE

NOTE: This form is not for voluntary self-restriction or self-exclusions. This form is not to be completed by patrons.

The facts and reasons why the individual should be excluded are as follows:

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: / /

Print Name, Title, and Gambling Establishment or Facility Name or Governmental Entity:

Chapter 10: Appendix A (Repealed Forms)

State of California
California Gambling Control Commission
CGCC – 12554 (New 09-06)

Summary Chart of Disciplinary Guidelines

This is a summary – please refer to the regulatory text for a full explanation. In case of any conflicts, the regulatory text will prevail. Minimum and Maximum penalties may be affected by factors in mitigation or aggravation, pursuant to regulation 12556.
If not otherwise listed, penalties may be stayed on the imposition of terms, conditions, or fines at the Commission's discretion, pursuant to regulation 12554, subsection (d).

Legend:
GGR = Average Daily Gross Gaming Revenue
TPPPPS = Third-Party Providers of Proposition Player Services

Type Of Offense	Type Of License	Minimum Penalty	Maximum Penalty	Regulation Reference (4 CCR)
Adequate Financing				
	Gambling Establishment	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(2), stay 12566(b); 12566(c)(4)
Badge Violations				
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(5)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(5)
Bribery				
	TPPPPS - Owner	5 days	Revocation	12560(b)(17)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(6)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(11)
	Gambling Business - Employee	$300 and/or 5 days	Revocation	12562(d)(6)
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(9)
Campaign Finance violation				
	TPPPPS – Owner	5 days	Revocation	12560(b)(5)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(5)
	Gambling Establishment	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(9), stay 12566(b); 12566(c)(12)

Cheating				
	TPPPPS – Owner	5 days	Revocation	12560(b)(9), (13)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(2)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(7)
	Gambling Business - Employee	$300 and/or 5 days	Revocation	12562(d)(2)
Conviction – law related to gambling				
	Gambling License, Finding of Suitability, Approval (not work permit)	1 day or 5 days	Revocation	12568(a)(2), (3); 12568(b)(12),(13)
Conviction - Moral Turpitude Crimes				
	TPPPPS – Owner or Employee	Revocation	Revocation	12560(e)(1)
	Gambling Business - Owner	Revocation	Revocation	12562(e)(1)
	Gambling Business - Employee	Revocation	Revocation	12562(e)(1)
Dishonest controlled gaming activities				
	TPPPPS - Owner	5 days	Revocation	12560(b)(4)
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(2)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(4)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(2)
	Gambling License, Finding of Suitability, Approval (not work permit)	1 day	Revocation	12568(a)(4)
Extortion				
	TPPPPS - Owner	5 days	Revocation	12560(b)(14)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(3)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(8)
	Gambling Business - Employee	$300 and/or 5 days	Revocation	12562(d)(3)
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(5)
Failure to Pay Fees				
	TPPPPS – Owner (Annual Fees)	5 days	Revocation	12560(b)(6)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(6)
	Gambling Establishment	5 days	Revocation	12566(c)(11)
Fighting				
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(6)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(6)

Loan-sharking				
	TPPPPS - Owner	5 days	Revocation	12560(b)(15)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(4)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(9)
	Gambling Business - Employee	$300 and/or 5 days	Revocation	12562(d)(4)
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(6)
Misrepresenting material fact on application				
	TPPPPS - Owner	5 days	Revocation	12560(b)(3)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(1)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(3)
	Gambling Business - Employee	$300 and/or 5 days	Revocation	12562(d)(1)
	Gambling Establishment	5 days	Revocation	12566(c)(3)
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(1)
Money Laundering				
	TPPPPS - Owner	5 days	Revocation	12560(b)(18)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(7)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(12)
	Gambling Business - Employee	5 days	Revocation	
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(10)
Narcotics				
	TPPPPS - Owner	5 days	Revocation	12560(b)(16)
	TPPPPS - Employee	$300 and/or 5 days	Revocation	12560(d)(5)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(10)
	Gambling Business - Employee	$300 and/or 5 days	Revocation	12562(d)(5)
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(7)

Non-Qualification				
	Work Permitee	3 days	Revocation	12558(b)
	TPPPPS - Owner	Revocation	Revocation	12560(e)(1),(2)
	TPPPPS - Employee	Revocation	Revocation	12560(e)(1),(2)
	Gambling Business - Owner	Revocation	Revocation	12562(e)(1), (2)
	Gambling Business - Employee	Revocation	Revocation	12562(e)(1), (2)
	Gambling License, Finding of Suitability, Approval (not work permit)	Revocation	Revocation	12568(c)(1), (3), (4)
Property Damage				
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(7)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(7)
Tips				
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(8)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(8)
Unauthorized Practice				
	TPPPPS – Owner (12200)	5 Days	Revocation	12560(b)(22)
	Gambling Business– Owner (12220)	$2500 and/or 5 days	Revocation	12562(b)(13)
	Gambling Establishment	5 days	Revocation	12566(c)(5)
Unsuitable Gaming Activities				
	Gambling Establishment	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(14), stay 12566(b); 12566(c)(17)
Violation of Gambling Control Act				
	Work Permitee - 19914	3 days	Revocation	12558(a)
	Gambling Establishment – 19850, 19851, 19853, 19854, 19855, 19883, 19901 (ownership/key)	5 days	Revocation	12566(c)(6)
	Gambling Establishment – 19878	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(5), stay 12566(b); 12566(c)(7)
	Gambling Establishment – 19912 (work permit)	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(6), stay 12566(b); 12566(c)(8)

	Gambling Establishment – 19921 (failure to exclude)	5 days	Revocation	12566(c)(9)
	Gambling Establishment – 19924 (security controls)	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(8), stay 12566(b); 12566(c)(10)
	Gambling Establishment – 19941 (under 21)	5 days	Revocation	12566(c)(9)
	Gambling License, Finding of Suitability, Approval (not work permit) – 19817 (untruthful)	5 days	Revocation	12568(b)(2)
	Gambling License, Finding of Suitability, Approval (not work permit) – 19944 (interference)	5 days	Revocation	12568(b)(3)
	Gambling License, Finding of Suitability, Approval (not work permit) – 19863 (racetrack)	Revocation	Revocation	12568(c)(2)
Violation of Chapter 9 and 10 of Penal Code				
	Gambling License, Finding of Suitability, Approval (not work permit)	5 days	Revocation	12568(b)(4)
Violation of any gambling law				
	TPPPPS – Owner	5 days	Revocation	12560(b)(2)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(2)
	Gambling Establishment	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(1), stay 12566(b); 12566(c)(2)
	Gambling License, Finding of Suitability, Approval (not work permit)	1 day; 5 days	Revocation	12568(a)(2), (3); 12568(b)(12), (13)
Violation of law – nexus				
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(3)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(3)
	Gambling License, Finding of Suitability, Approval (not work permit) – crime of fiscal dishonesty	1 day; 5 days	Revocation	12568(b)(11)

Violation of Regulations			
Work Permitee	3 days	Revocation	12558(d)
TPPPPS – Owner (12200.7(b)(9), (11), (15), (18), (19), (21), (22), or (c), or 12200.9)	5 days	Revocation	12560(b)(7)-(12), (19)
TPPPPS – Owner (12200.13, or 12200.18 (a), (b), (d), (e), (f), (i), (j), (l), (m), or (n))	5 days	Revocation	12560(b)(20), (21)
TPPPPS - Employee (12220.18 and 12200.21)	$100 and/or 3 days	Revocation	12560(c)(8), (9)
TPPPPS – Employee (12200.7, 12200.18(b), (c), (d), (f), (g), (h), (i), (j), or (k))	$300 and/or 5 days	Revocation	12560(d)(8), (9)
Gambling Business - Owner (12220.18 a, b, d, e, f, l, m)	$2500 and/or 5 days	Revocation	12562(b)(14)
Gambling Business - Employee (12220.18 and 12200.21)	$100 and/or 3 days	Revocation	12562(c)(9), (10)
Gambling Business - Employee (12220.18 c, d, f, g, h, i, j, k)	$300 and/or 5 days	Revocation	12562(d)(8)
Manufacturers or Distributors (12303(b))	Suspension	Revocation	12564
Gambling Establishment (Accounting Regs)	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR; or Revocation	12566(b)(10), (11), stay 12566(b); 12566(c)(13), (14)
Gambling Establishment – 11 CCR 2050 (Key on premises)	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR ; or Revocation	12566(b)(12); stay 12566(b); 12566(c)(15)
Gambling Establishment – 11 CCR 2052 (Failure to furnish information)	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR ; or Revocation	12566(b)(13); stay 12566(b); 12566(c)(16)
Gambling Establishment – 11 CCR 2070 (unsuitable gaming activities)	1 day/stay @ 25% GGR; or 5 days	30 days/stay @ 25% GGR ; or Revocation	12566(b)(14); stay 12566(b); 12566(c)(17)

Violation of Act, Regulations or Ordinances, or mandatory duties not listed				
	TPPPPS – Owner	1 day, stay	1 day	12560(a)
	Gambling Business - Owner	1 day, stay	1 day	12562(a)
	Gambling Establishment	1 day, stayed on monetary penalty	1 day	12566(a)
Violation of Conditions				
	Work Permitee	3 days	Revocation	12558(c)
	TPPPPS – Owner	5 days	Revocation	12560(b)(1)
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(1)
	Gambling Business - Owner	$2500 and/or 5 days	Revocation	12562(b)(1)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(1)
	Gambling Establishment	5 days	Revocation	12566(c)(1)
	Gambling License, Finding of Suitability, Approval (not work permit)	1 days	Revocation	12568(a)(1)
Conduct inimical				
	TPPPPS - Employee	$100 and/or 3 days	Revocation	12560(c)(4)
	Gambling Business - Employee	$100 and/or 3 days	Revocation	12562(c)(4)
	Gambling License, Finding of Suitability, Approval (not work permit)	1 day	Revocation	12568(a)(6)
	Gambling License – Owner Licensee (not taking reasonable steps to prevent crimes)	5 days	Revocation	12568(b)(8)