



CALIFORNIA GAMBLING CONTROL COMMISSION

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CONFLICT OF INTEREST CODE

The Political Reform Act (Government Code Sections 81000, *et seq.*) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission (FPPC) has adopted a regulation (2 California Code of Regulations Section 18730) which contains the terms of a standard conflict of interest code, which can be incorporated by reference in an agency's code, and which may be amended by the FPPC, to conform to amendments in the Political Reform Act, after public notice and hearings. The terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the FPPC, along with the attached Appendix A, in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of the California Gambling Control Commission ("Commission").

Designated employees shall file statements of economic interests with the FPPC filing officer in the ~~California Gambling Control~~ Commission who will make the statements available for inspection and reproduction. With respect to the Commissioners, and the Executive ~~Secretary~~ Director of the Commission, the ~~California Gambling Control~~ Commission shall make and retain a copy and forward the original of these statements to the FPPC. ~~(per the FPPC, Gambling Control Commission officials who are determined to manage public investments within the meaning of Government Code Section 87200 are to file their statements with the Gambling Control Commission).~~

NOTE: Authority cited: Section 87300, Government Code. Reference: Sections 87300 and 87302, Government Code.

Revised: ~~June 8, 2001~~ ~~June 29, 2006~~ November 14, 2006 1

Appendix A

~~Disclosure Category I—Full disclosure is required for the following employees: All Commissioners, the Executive Secretary (Director), Assistant Executive Secretary (Chief Deputy Director), Chief Counsel, all Managers, and all counsel to the Commission, and all Administrative Law Judges.~~

~~Any Commissioner, officer, employee or consultant in this category shall disclose all investments, interests in real property, sources of income and business positions.~~

~~Disclosure Category II—Executive Assistants to the Commission; auditors and investigators employed by the Commission; all persons involved in scheduling hearings or administrative proceedings before the Commission; and all persons whose duties include participating in the management, auditing or distribution of funds held by the Commission in trust for the benefit of Indian Tribes.~~

CALIFORNIA GAMBLING CONTROL COMMISSION
CONFLICT OF INTEREST CODE
APPENDIX A

List of Designated Positions Assigned Disclosure Categories

COMMISSIONERS

Commissioners 1

EXECUTIVE ADMINISTRATION

Executive Director 1

Deputy Executive Director 1

Staff Management Auditor 1

Executive Assistant 2

LEGAL DIVISION

Chief Counsel 1

Staff Counsel III 1

Staff Counsel 1

<u>Associate Governmental Program Analyst</u>	<u>2, 4</u>
<u>Staff Services Analyst</u>	<u>2, 4</u>

LEGISLATIVE & PUBLIC AFFAIRS OFFICE

<u>Deputy Director</u>	<u>1</u>
<u>Associate Governmental Program Analyst</u>	<u>2</u>
<u>Staff Services Analyst</u>	<u>2</u>

SUPPORT SERVICES

<u>Deputy Director</u>	<u>1</u>
<u>Staff Services Manager 1</u>	<u>1, 4</u>
<u>Senior Programmer Analyst</u>	<u>2, 3</u>
<u>Systems Software Specialist I</u>	<u>2, 3</u>
<u>Research Analyst II</u>	<u>2</u>
<u>Associate Governmental Program Analyst</u>	<u>2, 4</u>
<u>Staff Services Analyst</u>	<u>2, 4</u>
<u>Senior Accounting Officer</u>	<u>2, 4</u>
<u>Associate Budget Analyst</u>	<u>4</u>
<u>Associate Information System Analyst (Specialist)</u>	<u>2, 3</u>
<u>Associate Personnel Analyst</u>	<u>4</u>

LICENSING DIVISION

<u>Deputy Director</u>	<u>1</u>
<u>Staff Services Manager I</u>	<u>1</u>
<u>Associate Governmental Program Analyst</u>	<u>2</u>
<u>Staff Services Analyst</u>	<u>2</u>
<u>Management Services Technician</u>	<u>2</u>

COMPLIANCE DIVISION

<u>Deputy Director</u>	<u>1</u>
<u>Senior Management Auditor</u>	<u>1</u>
<u>Staff Management Auditor</u>	<u>2</u>
<u>Associate Management Auditor</u>	<u>2</u>
<u>Staff Services Management Auditor</u>	<u>2</u>
<u>Management Service Technician</u>	<u>2</u>
<u>Associate Information System Analyst (Specialist)</u>	<u>2, 3</u>

CONSULTANTS

Consultant

DISCLOSURE CATEGORY 1 – Full disclosure is required. Any officer, employee, or consultant in this category shall disclose all interest in real property in the State of California, as well as investments, business positions, and sources or income, including gifts and travel payments.

DISCLOSURE CATEGORY 2 – Any officer, employee, or consultant in this category shall disclose investments, business positions, and sources of income including gifts and travel payments, from any entity that is subject to the jurisdiction of the Commission, as established by law or by compacts between the State and/or Indian Tribes. Any employee ~~tribal-state compact~~, any manufacturer or distributor of gambling equipment; holder of a finding of suitability issued pursuant to a tribal-state compact; Indian tribe; holder of a state gambling license (including a key employee of a gambling establishment); holder of a work permit; applicant for a state gambling 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 registration as a manufacturer or distributor of gambling equipment; 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, any regulation adopted pursuant the Gambling Control Act, or any tribal-state compact. Any person in this category shall also disclose any interest in real property located within five miles of an entity that is subject to regulation, permit, or licensing by the Commission in the State of California.

DISCLOSURE CATEGORY 3 – A designated employee in this category shall report all investments, business positions, and income, including gifts, loans and travel payments, from sources that provide information technology systems including: hardware, software, equipment, or consulting services, of the type utilized at the Commission.

DISCLOSURE CATEGORY 4 – A designated employee in the category shall report all investments, business positions and income, including gifts, loans and travel payments, from sources that provides or provided within the previous two years services, supplies, equipment, vehicles, machinery, leased facilities, including training or consulting services, of the type utilized by the Commission.

Consultant Disclosure Category **CONSULTANT DISCLOSURE CATEGORY** – Consultants shall be included in the list of designated employees and shall disclose pursuant to the broadest placed in disclosure category 1, subject to the following limitation: ~~T~~the Executive Secretary Director may determine in writing that a particular consultant although a “designated position”, is

has been hired to perform a range of duties that ~~are~~ is limited in scope and, thus, is not required to fully comply with the disclosure requirements in this ~~section~~ Code. Such determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The Director's determination is a public record and shall be retained for public inspection in the same manner and locations as this Conflict of Interest Code.