

### 3. Display Key Employee License

- Wear the license in a visible and conspicuous manner while on duty;
- Request a replacement license in the event the license is lost, stolen, damaged, or due to a name change.
- Authority: 4 CCR §§ 12352(b)(1) & 12353(c).

### 4. Notify the Bureau of Any Change in Employment

- Notify the Bureau within 10 days of acceptance or termination of employment in a gambling enterprise.
- Authority: 4 CCR § 12352(a).

### 5. Remain on Premises and Ensure Compliance

- At least one licensed key employee must be on the premises at all times that the gambling establishment is open to supervise/ensure compliance with the Act and the Bureau's and Commission's regulations.
- Authority: 11 CCR § 2050 & 4 CCR § 12391 (b).

### 6. Receive Required Training

- New employee orientation must be completed within 60 days;
- Required annual training on problem gambling.
- Authority: 4 CCR § 12462 (b)(1) & (c)(3).



### 7. Act to Prevent Entrance and Report Entry Attempts by Persons on Excluded/Restricted Lists

- Take prompt action to eject/exclude people on the statewide involuntary exclusion list and patrons who attempt entry after requesting to be restricted or excluded;
- Follow policies and procedures in employer's Self-Restriction and Self-Exclusion programs;
- Notify the Bureau of any entries or attempts to enter by patrons on the involuntary exclusion list, the self-restriction, and/or self-exclusion lists.
- Authority: 4 CCR §§ 12362(q), 12463, 12464.

### 8. Other Prohibitions Applicable to Key Employees

Key employees are also prohibited from:

- Holding the player-dealer position in the gambling establishment they work in;
- Having any interest in funds wagered, lost, or won in the gambling establishment they work in;
- Retaliating against others for contacting the Commission, Bureau, or other agency;
- Providing proposition player services and working as a key employee in the same gambling establishment.
- Authority: Business and Professions Code §§ 19805(c), 19805(t), & 19984(a); Penal Code 330.11; 4 CCR § 12200.7(b) (11) & (e).

## Key Obligations of California Cardroom Key Employees



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## Key Requirements for Key Employees

Key employees are considered part of the “house” and are held to a higher standard than other employees of the gambling establishment, especially in regard to reporting requirements. Key employees are required to comply with the Gambling Control Act (“Act”) and regulations issued by the Bureau of Gambling Control (Bureau) and the California Gambling Control Commission (Commission). This pamphlet highlights some of the most important key employee responsibilities under the Act and the Commission’s regulations. All key employees should be familiar with all applicable rules. Full copies of the Act and regulations are available on the Commission’s website at <http://www.cgcc.ca.gov/?pageID=laws>.

### 1. Obtain/Maintain a Valid Key Employee License

#### Interim Key Employee License

- Work permit holders may begin to work as an interim key employee if an application & required documents are submitted to the Bureau within 10 days of hiring;
- An interim key employee license will be either granted or denied within 15 working days;
- Valid for up to 2 years while the regular application is being investigated and reviewed.
- Authority: 4 CCR § 12354.

#### Key Employee License

- A valid Key Employee License is required before commencing to perform the work of a key employee with 2 exceptions:
  - (1) Employee with a pending interim key employee license application filed w/in 10 days of hiring and waiting for decision;
  - (2) Employees working for corporations may begin working as a key employee if they submit their application to the Bureau within 30 days of assuming the key employee position.
- The Commission shall grant or deny the application within 120 days after receipt of the Bureau’s recommendation;
- The processing times for the Bureau and Commission may be exceeded under certain circumstances.
- Authority: Business and Professions Code §§ 19883, 19855; 4 CCR § 12350.

#### Key Employee License Renewal

- Licenses must be renewed every 2 years;
- File a renewal application with the Bureau within 120 days of the current license expiring;
- It is YOUR responsibility to ensure that your renewal paperwork is timely filed with the Bureau! Do not rely on a designated agent or third party for the accuracy, completeness or timeliness of your renewal application.
- Authority: 4 CCR §§ 12350(b) and 12351.

### 2. Report Violations to Bureau and/or Commission

Key employees must notify the Bureau in writing of the following within 5 days:

- Known possible violations of the Act or Commission regulations;
- After obtaining knowledge, notice, or contacting law enforcement for suspected violations of the Act and/or regulations and specific violations of law. See 4 CCR 12395(3)(A) for a list of specific violations that must be reported;
- Any cheating reported by a registrant or licensee must be reported to the Bureau and the Commission.
- Authority: 11 CCR § 2052(c); 4 CCR §§ 12395(a)(3)(A), 12200.7(18)

Key employees must notify the Commission and Bureau in writing of the following within 10 days:

- Any legal dispute between the primary owner of a TPPPS company and the house or key employee;
- Arrests in the gambling establishment of a TPPPS registrant;
- Removal by a peace officer from the gambling establishment of a TPPPS registrant;
- Involvement by a TPPPS registrant in a patron dispute 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.
- Authority: 4 CCR § 12200.7(16)-(17); Business and Professions Code § 19805(t).

#### ***Key Employees MUST Report the Following Violations to the Bureau:***

- ♥ Violations of Commission and Bureau regulations ♦ violations of the Act ♠ loan-sharking ♣ robbery
- ♥ money laundering ♦ illegal possession or distribution of dangerous drugs ♠ assault with deadly weapon
- ♣ pimping ♥ extortion ♦ pandering ♠ burglary ♣ forgery ♥ fraud ♦ grand theft ♠ petty theft ♣ embezzlement
- ♥ commercial bribery ♦ counterfeit currency ♠ loitering for prostitution ♣ prostitution