

California Gambling Control Commission
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**MINUTES OF DECEMBER 7, 2006
COMMISSION MEETING**

OPEN SESSION

1. Call to Order and Pledge of Allegiance.

Chairman Shelton called the meeting to order at 1:30 p.m., and asked everyone to stand for the Pledge of Allegiance.

2. Roll Call of Commissioners.

Roll Call of Commissioners was taken with Chairman Shelton and Commissioners Cruz and Vuksich present.

SPECIAL ORDER OF BUSINESS— 10:30 a.m.

3. Staff Report on Canceled Gaming Devices Licenses per Compact section 4.3.2.2(e)

Richard Armstrong, attorney for the Alturas Rancheria, requested that the Commission hold discussions concerning Alturas Rancheria in closed session indicating that information to be discussed with the Commission was confidential under Compact section 7.4.3.

At 10:40 A.M. the Commission adjourned to closed session.

Chairman Shelton reconvened to open session at 11:44 A.M., with Commissioners Cruz and Vuksich present.

Chairman Shelton moved to adopt the staff recommendation to approve the cancellation of all 300 licenses issued to the Tribe pursuant to Section 4.3.2.2 (e) of the Tribal-State Gaming Compact (Compact). Commissioner Vuksich seconded the motion, which failed to carry, with Chairman Shelton and Commissioner Vuksich voting yes and Commissioner Cruz voting no.

Commissioner Cruz moved that the Commission cancel all 300 licenses and order them returned pursuant to provisions of the Compact, such motion to take effect one-year from today and provided that the 350 gaming devices referred to in Compact section 4.3.1 are taken into consideration when we establish the devices have been made commercially operable. The motion failed for lack of a second.

Chairman Shelton announced that the Commission would take a brief recess. At 12:35 p.m. the Commission recessed.

Chairman Shelton reconvened the meeting at 12:48 p.m. with Commissioners Cruz and Vuksich present.

The Commission tabled the matter to the January 11, 2007 Commission meeting.

Chairman Shelton adjourned the morning session and announced that the Commission would reconvene the afternoon session at 1:30 p.m. At 12:50 p.m. the Commission adjourned.

REGULAR ORDER OF BUSINESS – 1:30 p.m.

Chairman Shelton called the meeting to order at 1:30 p.m., and asked everyone to stand for the Pledge of Allegiance.

Roll Call of Commissioners was taken with Chairman Shelton and Commissioners Cruz and Vuksich present.

4. Applications for State Gambling License Including All Associated Applicants and Endorsees (Pursuant to Business and Professions Code section 19851):
 - A. Crystal Hotel and Casino: Celebrity Casinos, Inc.

Deputy Director Ciau indicated that staff recommends that the Commission extend the temporary license from January 1, 2007 to March 31, 2007 for Crystal Hotel and Casino, Item 4.A. Upon motion of Chairman Shelton, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

- B. Diamond Jim's: George Hardie, Jr., Beneficiary

Deputy Director Ciau indicated that staff recommends that the applicant be included on the gambling establishments license with the following conditions:

1. *Mr. Hardie, Jr. will have no input, influence, or control over any aspect of the business or affairs of the gambling establishment.*

2. *Mr. Hardie, Jr. may not serve as officer, director, employee, or consultant to the gambling establishment.*
3. *The only income Mr. Hardie, Jr. may receive from the gambling establishment is via the Zephur Trust.*

Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

c. Lucky Chances Casino: Lucky Chances Inc.

At the request of Commission Cruz, the Commission tabled Item 4.C.

5. Applications for Renewal of State Gambling License Including All Associated Applicants and Endorsees (Pursuant to Business and Professions Code section 19876):

A. Bay 101: Sutter's Place Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Bay 101, Item 5.A., from January 1, 2007 through December 31, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Deputy Director Ciau further indicated that staff also recommends that the condition requiring Mr. Warner to be licensed be removed. Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

B. Bicycle Casino: LCP Associates, Ltd.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Bicycle Casino, Item 5.B., from January 1, 2007 through December 31, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Deputy Director Ciau further indicated that staff also recommends that the key employee endorsement for James Wang be extended only through March 31, 2007. Upon motion of Chairman Shelton, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

C. Club San Rafael: Pete's 881 Club, Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Club San Rafael, Item 5.C., from January 1, 2007 through December 31, 2007, including the shareholders listed on Attachment A to the minutes. Upon motion of Chairman Shelton, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman

Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

D. Commerce Casino: California Commerce Club, Inc.

Deputy Director Ciau indicated that staff recommends that the Commission extend the state gambling license from January 1, 2007 through February 28, 2007 for Commerce Casino, Item 5.D. Upon motion of Commissioner Vuksich, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

E. Garden City Casino: Garden City, Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Garden City Casino, Item 5.E., from January 1, 2007 through September 30, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

F. Hollywood Park Casino: Century Gaming Management, Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Hollywood Park Casino, Item 5.F., from January 1, 2007 through December 31, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Upon motion of Chairman Shelton, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

G. Lake Bowl Card Room: Waldemar Dreher, Sole Proprietor

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Lake Bowl Card Room, Item 5.G., from January 1, 2007 through September 30, 2007, including the shareholder and key employees listed on Attachment A to the minutes. Upon motion of Chairman Shelton, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

H. Livermore Casino: Sidney Ahn, Sole Proprietor

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for the remaining period of the state gambling license for Livermore Casino, Item 5.H., from January 1, 2007 through August 31, 2007, including the shareholder listed on Attachment A to the minutes. Upon motion of Commissioner Vuksich,

seconded by Chairman Shelton and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

I. Lucky Chances Casino: Lucky Chances Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Lucky Chances Casino, Item 5.I., from January 1, 2007 through December 31, 2007. Deputy Director Ciau further indicated that staff also recommends that the condition regarding wagering limits be removed. Upon motion of Chairman Shelton, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

Commissioner Cruz indicated concerns that in both the Division and staff's reports mention is made that the local ordinances are not in compliance with the Gambling Control Act. Commissioner Cruz indicated that he would like to make a blanket condition on these license approvals that the applicant would have 12-months to have their city become compliant to the Gambling Control Act.

Norm Pierce, Division of Gambling Control, indicated that the Division recently sent letters to the local jurisdictions whose ordinance were not in compliance asking their attorneys to act expeditiously to bring their ordinances into compliance.

Mike Owen, 101 Casino, commented on the concerns raised by Commissioner Cruz and indicated his own concerns for placing the burden on the licensee when in fact it is the city who is not in compliance with the Gambling Control Act.

J. Lucky Lady Card Room: Stanley Penn, Sole Proprietor

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Lucky Lady Card Room, Item 5.J., from February 1, 2007 through January 31, 2008, including the shareholder and key employees listed on Attachment A to the minutes. Commission Cruz moved to adopt the staff recommendation with the license conditioned that:

Licensee shall operate a gambling establishment in a jurisdiction where the ordinance complies with the Gambling Control Act within 12-months from the date license is reissued.

Chairman Shelton seconded the motion.

Rodney Blonien commented on behalf of the Lucky Lady Card Room and suggested that the Commission contact the local jurisdictions and instruct them specifically on why their ordinance does not comply with the Gambling Control Act.

Norm Pierce, Division of Gambling Control, indicated that the letters sent by the Division to the local jurisdictions provided some examples of non-compliance but did not specifically indicated to each jurisdiction how their ordinance was non-compliant.

The amended motion made by Commissioner Cruz and seconded by Chairman Shelton unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes.

K. Marina Club: Guy Calamia, Sole Proprietor

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for the remaining period of the state gambling license for Marina Club, Item 5.K., from January 1, 2007 through October 31, 2007, including the shareholder and key employees listed on Attachment A to the minutes. Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

L. Mortimer's Cardroom: Mortimer's Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for the remaining period of the state gambling license for Mortimer's Cardroom, Item 5.L., from January 1, 2007 through November 30, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Deputy Director Ciau further indicated that staff recommends that the condition: *The Executor of the Edward Williamson estate must apply for a state gambling license within 90 days of May 4, 2006*, be removed. Upon motion of Commissioner Vuksich, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

M. Oasis Card Room: Chieko Epstein, Sole Proprietor

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Oasis Card Room, Item 5.M., from March 1, 2007 through February 28, 2008, including the shareholder listed on Attachment A to the minutes. Chairman Shelton moved to adopt the staff recommendation with the license conditioned that:

Licensee shall operate a gambling establishment in a jurisdiction where the ordinance complies with the Gambling Control Act within 12-months from the date license is reissued.

Commissioner Cruz seconded the motion, which unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes.

N. The 101 Casino: Cal-Pac Group, Inc., Cal-Pac Sonoma, LLC

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for The 101 Casino, Item 5.N., from January 1, 2007 through December 31, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Deputy Director Ciau further indicated that staff recommends that the two previous conditions placed on the license be removed and that the Commission place on the license a separate condition that:

Licensee shall operate a gambling establishment in a jurisdiction where the ordinance complies with the Gambling Control Act within 12-months from the date license is reissued

Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

O. Tommy's Casino: Tommy Wayne Buck Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Tommy's Casino, Item 5.O., from January 1, 2007 through December 31, 2007. Upon motion of Commissioner Vuksich, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

P. Village Club: Harvey Souza, Sole Proprietor

Deputy Director Ciau indicated that staff recommends that the Commission approve the application for renewal of the state gambling license for Village Club, Item 5.P., from January 1, 2007 through December 31, 2007, including the shareholders and key employees listed on Attachment A to the minutes. Deputy Director Ciau further indicated that staff also recommends that the condition previously placed on the license be removed. Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

6. Applications for Key Employee License (Pursuant to Business and Professions Code section 19854):

- A. Bicycle Casino: Shi, Hong
- B. Lucky Chances Casino: Vong, Thomas

Deputy Director Ciau indicated that staff recommends that the Commission approve the applications for a key employee license for Hong Shi, Item 6.A., and Thomas Vong, Item 6.B. Upon motion of Commissioner Vuksich, seconded by Chairman Shelton and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

c. The 101 Casino: Stan, Michael

Deputy Director Ciau indicated that staff concurs with the Division's recommendation to deny the application for a key employee license for Michael Stan, Item 6.C.

Ravi Mehta, representing Michael Stan, presented comments for the Commission's consideration of Mr. Stan's application and urged the Commission to approve Mr. Stan's application for a key employee license. Mr. Mehta presented to the Commission letters from various individuals in support of Mr. Stan, which have been incorporated into the minutes as Attachment B.

Mike Owen, 101 Casino, presented comments for the Commission's consideration of Mr. Stan's application and urged the Commission to approve Mr. Stan's application for a key employee license.

Norm Pierce, Division of Gambling Control, indicated that it is the Division's position that that they do not have the same authority as the Commission to be discretionary when investigating applicants with prior convictions.

Chairman Shelton moved to approve the application for a key employee license for Michael Stan, Item 6.C. Commissioner Cruz seconded the motion, which unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes.

7. Applications for Work Permit (Pursuant to Business and Professions Code section 19912):
- A. Empire Sportmen's Association: Toma, Sabah
 - B. Lake Bowl Cardroom: Addison, Raquel
 - C. Napa Valley Casino: Lindstrom, Stephen; Niswonger, Joseph
 - D. River Card Room: Delia, Shqipe; Gentry, Cresencia; Mey, William
 - E. The Casino 101: Farnsworth, Martin; Langley, Carolyn

Deputy Director Ciau indicated that staff recommends that the Commission approve the applications for a work permit for Sabah Toma, Item 7.A., Raquel Addison, Item 7.B., Stephen Lindstrom and Joseph Niswonger, Item 7.C., Shqipe Delia, Cresencia Gentry, and William Mey, Item 7.D, and Martin Farnsworth and Carolyn Langley, Item 7.E. Upon motion of Commissioner Vuksich, seconded by Chairman Shelton and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

8. Application for Initial Tribal-State Compact Gaming Resource Supplier Finding of Suitability (Authority Pursuant to the Tribal-State Gaming Compact, section 6.4.5):
Galaxy Gaming of California, LLC: Robert Saucier, a Limited Liability Company

Deputy Director Ciau indicated that staff recommends that the Commission approve Galaxy Gaming of California's request for an evidentiary hearing. The Commission referred the matter for hearing.

Robert Tabor, representing Galaxy Gaming of California, presented comments to the Commission concerning the Division's background investigation indicating that he believes that the Division's actions were biased against his client and requested that the Commission consider having a private investigation conducted.

Chairman Shelton directed the Executive Director to review the matter and make a recommendation to the Commission on whether a private investigation of the applicant is appropriate.

9. Application for Tribal-State Compact Gaming Resource Supplier - Financial Sources Finding of Suitability (Authority Pursuant to the Tribal-State Gaming Compact, section 6.4.5 & 6.4.6):
Lakes Entertainment, Inc.

Deputy Director Ciau indicated that staff recommends approval of the application for an initial finding of suitability for Tribal-State Compact Gaming Resource Supplier for Lakes Entertainment, Inc., Item 9., from January 1, 2007 through December 31, 2007. Upon motion of Commissioner Vuksich, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

10. Applications for Renewal of Tribal-State Compact Gaming Resource Supplier Finding of Suitability:
- | | |
|--------------------------------------|----------------------|
| A. A.C. Coin-Nevada: | |
| Seelig, Jason | Seelig, Jeffrey |
| Seelig, Jerald | Seelig, Max |
| Thomas McCormick, Nevada Corporation | |
| B. K.P. Gaming Supplies, Inc.: | |
| California Corporation | Thornton, Kevin Paul |

Deputy Director Ciau indicated that staff recommends that the Commission approve the applications for renewal of the Tribal-State Compact Gaming Resource Supplier Finding of Suitability for A.C. Coin-Nevada, Item 10.A., and K.P. Gaming Supplies, Inc., Item 10.B., from January 1, 2007 through December 31, 2007. Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

11. Final Adoption of Regulations:

- A. Conflict of Interest Code (Title 4, California Code of Regulations, section 12590)

Senior Legal Counsel Bolz indicated that staff recommends that the Commission approve the revised text of the Conflict of Interest Code for filing with the Fair Political Practice Commission before January 1, 2007, for review and approval and for initiation of the third and final comment period. Upon motion of Commissioner Cruz, seconded by Chairman Shelton and unanimously carried in a vote by roll call with Chairman

Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation. A copy of the Conflict of Interest Code, as adopted by the Commission, is incorporated into the minutes as Attachment C.

B. Initial State Gambling License Fee (Title 4, California Code of Regulations, section 12341)

Senior Legal Counsel Bolz indicated that staff recommends that the Commission approve the proposed Initial Fee Regulation for submission to the Office of Administrative Law. Senior Legal Counsel Bolz further indicated that this proposal is intended to prevent the Commission from losing its authority to charge table fees to applicants for initial state gambling license. Upon motion of Chairman Shelton, seconded by Commissioner Cruz and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation. A copy of the Conflict of Interest Code, as adopted by the Commission, is incorporated into the minutes as Attachment D.

C. Discipline, Hearings, and Decisions (Title 4, California Code of Regulations, sections 12550, 12552, 12554, 12556, 12558, 12560, 12562, 12564, 12566, 12568, and 12572)

Staff Counsel Hoganson presented Item 11.C. to the Commission for its consideration of the proposed regulations concerning discipline, hearings and decisions.

David Fried, attorney representing Golden State Gaming Association, presented comments on Sections 12552 and 12566 of the proposed regulations.

Keith Sharp, attorney for Hawaiian Gardens, presented comments on Sections 12566(b)(4) and 12566(c)(9) of the proposed regulations.

Alan Titus, attorney for Artichoke Joes, presented comments on Sections 12566(a) and 12566(b)(11) of the proposed regulations.

Isador Hall, Mayor Pro-Tem of the City of Compton, presented comments concerning the effect harsh penalties may have on local communities.

Terri Sue Canale, Division of Gambling Control, presented comments on Section 12566(c)(9) of the proposed regulations.

Staff Counsel Hoganson indicated that staff recommends that the Commission adopt the proposed regulations for Chapter 10, Discipline, Hearings, and Decisions, sections 12550, 12552, 12554, 12556, 12558, 12560, 12562, 12564, 12566, 12568, and 12572, except that the specific changes proposed in the most recent 15-day change dated September 29, 2006, listed as:

- Section 12550(d)(2) [page 1],
- Section 12554(d)(7)(B) [page 4],
- The added sentence at the end of Sections 12554(e) and (f) [page 5],
- Section 12566(a)(4), and (5) [page 18],

- Section 12566(b)(3) [page 19],
- Section 12566(b)(4) [page 19], and
- Section 12566(b)(7) [page 19]

are rejected, and the typographical errors brought to staff's attention in the summary chart referenced in section 12554 shall be corrected before submission to the Office of Administrative Law.

Staff is directed to make any nonsubstantive changes to the regulations and supporting text as required by the Office of Administrative Law during their review process.

Staff is further directed to review those areas that are rejected for this rulemaking and prepare new proposed text for 2007. Upon motion of Chairman Shelton, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation. A copy of the regulations concerning Discipline, Hearings, and Decisions, as presented to the Commission, is incorporated into the minutes as Attachment E.

D. Problem Gambling (Title 4, California Code of Regulations, sections 12460, 12461, 12462, 12463, 12464, 12466)

Staff Counsel Hoganson presented Item 11.D. to the Commission for its consideration of the proposed regulation concerning Problem Gambling and indicated that staff recommends that the Commission approve the proposed regulation for submission to the Office of Administrative Law.

Alan Titus presented comments suggesting that the forfeiture language in the proposed regulation be deleted.

Andrew Schneiderman, Commerce Casino, commented on the forfeiture language in the proposed regulation, and that part aside, indicated his support of the proposed regulation.

Upon motion of Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation. A copy of the Problem Gambling Regulation, as adopted by the Commission, is incorporated into the minutes as Attachment F.

CONSENT CALENDAR ITEMS:

12. Applications for Renewal Work Permit (Authority Pursuant to Business and Professions Code section 19870):

- A. Central Coast Casino – Grover Beach: Lim, Stephanie
- B. Sundowner Cardroom: Blackmon, Billy
- C. The 101 Casino:

Kelly, Adam

Perry, Anthony

Scott, Trevor

Song, Pei

13. Applications for Tribal-State Compact Key Employee Finding of Suitability Initials (Authority Pursuant to the Tribal-State Gaming Compact, section 6.4.4):
- A. Agua Caliente Band of Cahuilla Indians of the Agua Caliente Reservation – Agua Caliente Casino:
 - Bruce, Matthew
 - Marchese, Noreen
 - B. Augustine Band of Mission Indians – Augustine Casino:
 - Bajramovic, Edin
 - Sepulveda, Toni
 - C. Barona Band of Mission Indians of the Barona Reservation – Barona Valley Ranch Resort Casino: Lee, Andrew
 - D. Bear River Band of the Rohnerville Rancheria – Bear River Casino:
 - Mead, Brian
 - E. Berry Creek Rancheria – Gold Country Casino:
 - Desroches, Alan
 - Nolan, Gary
 - F. Cabazon Band of Mission Indians – Fantasy Springs Casino:
 - Escobar, Berman
 - G. Cachil DeHe Band of Mission Indians – Colusa Casino & Bingo:
 - Arquette, Robert
 - Stone, Debra
 - H. Cahuilla Band of Mission Indians – Cahuilla Creek Casino:
 - Brown, Douglas
 - Mullinax, Sabrina
 - I. Cher-Ae Heights Indian Community – Cher-Ae Heights Casino: Thompson, Catherine
 - J. Coyote Valley Band of Pomo Indians – Coyote Valley Shodakai Casino:
 - Idica, Anthony
 - J. Dry Creek Rancheria Band of Pomo Indians of California– River Rock Casino:
 - Bui, Anh
 - Manibot, Soudchay
 - Pacheco, Debra
 - K. Hopland Band of Pomo Indians – Sho-Ka-Wah Casino & Bingo: Anderson, Tracy
 - L. Morongo Band of Mission Indians – Casino Morongo:
 - Castanon, Alejandrina
 - Plants, Jr., Richard
 - M. Paiute-Shoshone Indians of the Bishop Community – Paiute Palace Casino:
 - Boynton, Randall
 - N. Pala Band of Mission Indians – Pala Casino:
 - Rohani, Mahyar
 - O. Pauma Band of Luiseno Mission Indians – Casino Pauma: Bentley, Clifford
 - P. Pechanga Band of Luiseno Mission Indians of the Pechanga Reservation – Pechanga Gaming Center:
 - Batey, Burton
 - Dolan, Samuel

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|-----|--|-------------------------|
| | Hale, Anthony | Hudgins, James |
| | Lozoya, Christina | Lyman, Jeffrey |
| | Mitchell, Thomas | |
| Q. | Picayune Rancheria of the Chukchansi Indians - Chukchansi Gold Resort and Casino: | |
| | Brown, April | Hernandez, Jose |
| | Hernandez, Mario | Rodriguez-Colon, Edward |
| | Vella, Joseph | |
| R. | Rincon Band of Mission Indians – Harrah’s Rincon Casino & Resort: | |
| | Booth, Carole | Diamond, Bruce |
| | Gonzales, Joe | Markey, Elizabeth |
| S. | Rumsey Indian Rancheria of Wintun Indians of California– Cache Creek Casino Resort: | |
| | Nguyen, Thuy; Sinkovic, Tonic; Xiong, Mai | |
| T. | San Pasqual Band of Diegueno Mission Indians – Valley View Casino: | |
| | Reed, Amanda | |
| U. | Santa Rose Rancheria – The Palace: | Rodriguez, Felicha |
| V. | Santa Ynez Band of Chumas Mission Indians of Santa Ynez Reservation - Chumash Casino Resort: | |
| | Brown, Andre | Fera, Jennifer |
| | Larios, Jessica | Ray, Laura |
| | Torman, Charles | |
| W. | Soboba Band of Luiseno Indians – Soboba Casino: | |
| | Fuller, Kraig | Hawk, Jason |
| X. | Sycuan Band of Mission Indians – Sycuan Casino: | |
| | Angulo, Antonio | Carter, Erik |
| | Deapen, Jason | Harris, Carole |
| | Logan, Jr.,Andre | Ostern, Aaric |
| Y. | Table Mountain Rancheria – Table Mountain Casino: | Capra, Jeffrey |
| Z. | Tule River IndianTribe – Eagle Mountain Casino: | |
| | Hanemountry, Sourivanh | Hernandez, Adrian |
| | Santos, Stanley | Simonin, Paula |
| AA. | Tuolumne Band of Mi-Wuk Indians of Tuolumne Rancheria of California – Black Oak Casino: | |
| | Baker, Jason; Lewis, William | |
| | Picard, Daniel | Waight, Tamara |
| | Wilson, Jr., John | |
| BB. | Twenty-Nine Palms Band of Mission Indians – Spotlight 29 Casino: | |
| | Belchamber, Derek | Cordova, Jr.,Carlos |
| | Gonzalez, Juan | Parra, Juan |
| | Rodriguez, Victoria | |
| CC. | United Auburn Indian Community – Thunder Valley Station Casino: | |
| | Neely, Todd | |
| DD. | Viejas (Baron Long) Group of Capitan Grande Band of Mission Indians of the Viejas Reservation – Viejas Casino & Turf Club: | |
| | Chau, Tan | Ezquerro-Garcia, Elisa |
| | Hardin, Kirk | Smith, Michael |

14. Applications for Tribal-State Compact Key Employee Finding of Suitability
Renewals: (Authority Pursuant to the Tribal-State Gaming Compact, section 6.4.4):

A. Cachil DeHe Band of Mission Indians:

Fossett, John

Mackaben, Robert

Twilling, Julie

B. Cher-Ae Heights Indian Community – Cher–Ae Heights Community:

Bacon, Raymond

Cain, Cammi

Egle, Valdis

Martin, William

Muhleck, Jeremy

Oliveri, Lisa

C. Chicken Ranch Rancheria – Chicken Ranch Casino:

Burk, Dianne

Gomes, Gaynelle

Martinez, Sheila

Thomas, Joseph

D. Elk Valley Rancheria – Elk Valley Casino: Cholwell, Jay

E. Morongo Band of Mission Indians – Casino Morongo:

Bartholomew, Bradley

Cirincione, Somthong

Clarkson, Jayne

Ford, Shannon

Hawley, Theresa

Ingersoll, Matthew

Kirvida, Jerry

Mai, Francisco

Majors, Matthew

Moore, Tommy

Osborne, Samantha

Repasky, Kevin

Richardson, Linda

Stamm, Katherine

Turner, Alida

F. Picayune Rancheria of Chukchansi Indians – Chukchansi Gold Resort & Casino:

Bach, James

Dandin, Jaimelind

Domingo, Marcku

Gonzales Jr., Benny

Horejs, Ralph

Hunt, David

Kar, Anthony

Kelly, Joseph

Lee, Jerry

Lopez, Lorena

Lorance, Johnny

G. Rumsey Indian Rancheria of Wintun Indians of California– Cache Creek CasinoResort:

Behney, Kenneth

Dizon, May

Kang, Phillip

Lee, Edison

Leonzon, Edward

Longshore, Jonathan

Luangrath, Sengmany

Ly, Doris

Mac, Mary

Magnitang, Joseph

Mahaphengxay, Ay

Mak, Lisa

Nakayama, Josephine

Perry, George

Pfeiffer, Alan

Pham, Jay

Pichlmaier, Johann

Plazibat, Ante

Rodgers, Nicholas

Saechao, San

Smith, Rita

Thompson, James

To, Ngoc-Minh

Wallace, Steve

Wong, Sam

Yu, Irene

- H. Santa Ynez Band of Chumas Mission Indians of Santa Ynez Reservation
Chumash Casino Resort:
- | | |
|-----------------|-------------------|
| Borden, Brandi | Gregg, Keela |
| Hooper, Desiree | Hoosier, Joey |
| Jimenez, Johnny | Ormond, John |
| Perdew, Anthony | Reveles, Melannie |
| Tyler, Walter | Vazquez, Veronica |
- I. Smith River Rancheria – Lucky 7 Casino:
Fender, William Walker, Duane
- J. Susanville Indian Rancheria – Diamond Mountain Casino:
Hyatt, Debra Padilla, Nicolas
- K. Tuolumne Band of Mi-Wuk Indians of Tuolumne Rancheria of California –
Black Oak Casino:
Davis, James

15. Request for Additional Permanent Authorized Tables (Pursuant to California Code of Regulations, Title 4, section 12359):
Capitol Casino: Capitol Casino, Inc.

Deputy Director Ciau indicated that staff recommends that the Commission approve the Consent Calendar, agenda items 12 through 15. Upon motion of Chairman Shelton, seconded by Commissioner Vuksich and unanimously carried in a vote by roll call with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the Commission adopted the staff recommendation.

PUBLIC COMMENT

There were no comments from the public during this portion of the meeting.

CLOSED SESSION

Chairman Shelton announced that the Commission would not adjourn to Closed Session since there were no new matters under Government Code section 11126(e) that required discussions.

ADOURNMENT

Upon motion to adjourn the meeting by Commissioner Cruz, seconded by Commissioner Vuksich and unanimously carried in a roll call vote, with Chairman Shelton and Commissioners Cruz and Vuksich voting yes, the meeting adjourned at 4:30 p.m.

December 7, 2006
Commission Meeting
Shareholders/Key Employees

Agenda Item #4C: Lucky Chances Casino: Lucky Chances Inc.

Shareholders/Licensees:

Rommel Medina
 Ruell Medina

Key Employees:

Kyle Alegrete	Judy Cheng	Kian Nostrati	Johnson Shiu
Wilfredo Balace	Cathy Galletta	Paul Priolo, Jr.	Kenneth Siu
Ralph Baude	Kwong Huie	Robert Reyes	Jospeh Spooner
Joni Beyer	Clifford Long	Robert Robinson	Esteban Tahmazian
Dennis Callahan	Brenda Martin	Roger Rogge	Arthur Van Loon
Dustin Chase	Bernie Nevarez		

Agenda Item #5A: Bay 101: Sutter's Place Inc.:

Shareholders/Licensees:

Brian Bumb
 Timothy Bumb
 George Bumb, Jr.
 Mark Trapani, Sr.
 Ronald Werner

Key Employees:

Charles Bates	Michael Sakamoto
Thomas Bosch	Stanley Seiff
Susan Deeb	Joseph Schablaske
James McKee	Charles Skidmore
Harry Rapp	Michael Wilson

Agenda Item #5B: Bicycle Casino: LCP Associates, Ltd.:

Shareholders/Licensees:

Carter LCP Partnership, Ltd.	Katie DeChamplain	Thomas Madigan
Robert Carter	Kim Elliot	Hashem Minaiy
Maureen O'Dea	Cezanne Farris-Gilbert	Valerie Ota
Sandra Carter	Savannah Farris-Gilbert	David Pierson
Debbie Hunt	Robert Gilbert	Patricia Pierson
David Carter	Haig Kelegian	Stacey Pierson
Jerry Carter	Judith Krokover	Meredith Russell
Carter Grantor Trust No. 1	Shirley Kunisaki	Fabienne Schknevsky
Carter Grantor Trust No. 2	Thomas Kunisaki	Hubert Sommers
Carter Management Group, Inc.	Walter Lack	Wendi Sommers
Douglas Ayres	Barbara Lack	Jamie Tait
Julianne Coyne	Melinda Longaker	

Key Employees:

Thomas Budds	Randy Hanson	Sinan Sinanyan
Michael Byrd	Joy Fernbach Harn	John Tian
Richard Cloward, Jr.	John Hoffman	Gerry Turner
Mario Conte	Fabricio Martinez	Mark Ventre
Eveliene Dullaart	John O'Donnell	James Wang
Zaven Esmaili	Kelley O'Hara	
Cynthia Fuentes	George Rahme	
Charlie Gin	Elena Sagato	

Agenda Item #5C: Club San Rafael: Pete's 881 Club, Inc:

Shareholders/Licensees:

Mayme Pellolio
 Robert Pellolio
 Barbara Harrison

Agenda Item #5D: Commerce Casino: California Commerce Club, Inc:

Shareholders/Licensees:

Rudy Adelshian	Kaizak & Zephyr Mosikian
Sonia Adelshian	Lowell T. Murray Jr.
Zack & Jeannette Anter	Catherine Murray
Susan Avdalian	Dante Oliveto
Survivor's Trust Under the Will of William George Bailey	Edgar E. Pankey and Elizabeth S. Pankey Trust
Bertha Emily Bailey – Trustee	Elizabeth S. Pankey – Trustee
James Barbo	Janice Pankey
Louisa Mary Bodnar – Trustee	Peter Pankey
The Contrucci Family Irrevocable Living Trust	Victor Pankey
Olga Marion Contrucci – Trustee	Haig Papaian
James & Kathleen Dutchess	Suzanne Papaian
Laura & Salvator Federico – Trustees	Deborah Payne
Patricia Gribskov	Michael Roos
Francine & Franklin Handler – Trustees	Harvey & Linda Ross – Trustees
Cheryl Harris – Trustees	Jodi Lee Ross
Leslie Harris	Aram Saatchian
Jeanette Harris – Community Property Interest Holder	Kasar & Susan Saatchian
Victor Hovsepian	Andrew Scniederman
Lucia & Richard Ibosh – Trustees	Arlene Schwartz – Trustee
Haig Kelegian	Kenneth Slater
Arsen Malkasian	George & Irene Streisfield – Trustees
Tom Malkasian	George Tumanjan – Trustee
Selma Massman – Trustee	Jeanne Tumanjan
Jasmine Mgrdichian – Trustee	Melissa Walker
Ralph & Zoya Mosikian	Ralph Wong

Key Employees:

Efren Antonio	Valerie Maldonado
James Denio	Fred McGarr
James Griffo	Debora Millan
John Griffo	Steven Romeyn
Timothy Gustin	Ingrid Roseman
Jeffrey Harris	Michael Sana
Scott Alden Hayden	Glenn Thomas Tracey
Susan Holyfield	Cynthia Winters
Martin Kasko	Alan Wong
Mike Kusano	

Agenda Item #5E: Garden City Casino: Garden City, Inc.:

Shareholders/Licensees:

Frederick Wyle
Irene Ann Fisher Pestana

Key Employees:

John Bondi	Nadia Lehr
Aileen Brandin	John McDermott
Ronald Castro	Daniel Morgan
Royal Colbert	Mutsuo Morimoto
Maria Hagen	Alphonse Polito
Roger Jenkins	Louis Pyle
Alan Kakimoto	Gilbert Rodriguez

Agenda Item #5F: Hollywood Park Casino: Century Gaming Management, Inc.:

Shareholders/Licensees:

Leo Yu-Ming Chu
Ivy Oi-Wa-Mui-Chu

Key Employees:

Terry Ayjian	Paul Chilleo	Steve Iino	Marieclaire Moulet-Demery
Alexander Augusta	David Edwards	Taro Ito	Clarissa O'Brien
Angela Bennett	Joann Gilmartin	Carlos Lazo	James Preston
Ronnie Blackwell	Andres Gomez	Maria Lomibao Budnick	Sandie Selzer
Phyllis Caro	James Heinemann	Virginia McMahan	Joel Tonjes

Agenda Item #5G: Lake Bowl Card Room: Waldemar Dreher, Sole Proprietor:

Shareholders/Licensees:

Waldemar Dreher

Key Employees:

Monica Schoenfelder
Jeremy Dreher

Agenda Item #5H: Livermore Casino: Sidney Ahn, Sole Proprietor:

Shareholders/Licensees:

Sidney Ahn

Agenda Item #5I: Lucky Chances Casino: Lucky Chances Inc.:

See Agenda Item 4C

Agenda Item #5J: Lucky Lady Card Room: Stanley Penn, Sole Proprietor:

Shareholders/Licensees:

Stanley Penn

Key Employees:

Steven Ashmore
Jan Beverly

Agenda Item #5K: Marina Club: Guy Calamia, Sole Proprietor:

Shareholders/Licensees:

Guy Calamia

Key Employees:

Deon Calamia
Leila Calamia

Agenda Item #5L: Mortimer's Cardroom: Mortimer's Inc:

Shareholders/Licensees:

Edward Williamson Estate – Mark Williamson, Executor
Ok Heui Hanna

Key Employees:

Michiko Barratt
Thomas De Coudres
Veronica Lombardi
Yoko Johnson
Verachai Jongjjaroenroongroche
Marylee Sakas

Agenda Item #5M: Oasis Card Room: Chieko Epstein, Sole Proprietor:

Shareholders/Licensees:

Chieko Epstein

Agenda Item #5N: The 101 Casino: Cal-Pac Group, Inc., Cal-Pac Sonoma, LLC:

Shareholders/Licensees:

Cal-Pac Group Inc.
Frank Rimkus
Raphael Cohen

Key Employees:

Bill Bundesen	Anthony Pastor
James Castalano	Francis Quinn
Mabel Conti	Anthony San Marchi
William Marsden	Michael Scalercio
Michael Owen	Randy Yaple

Agenda Item #50: Tommy's Casino & Saloon: Tommie Wayne Buck, Inc:

Shareholders/Licensees:

Tommie Wayne Buck

Agenda Item #5P: Village Club: Harvey Souza, Sole Proprietor:

Shareholders/Licensees:

Harvey Souza
Elizabeth Souza
Francis Burger

Key Employees:

Richard Boyd, Jr.
Stephen Hudson
Jack Miller
Maile Souza Bridge
Kelly Souza
Linda Silva
Hung Fook Sun

Paul Maguire, Owner
Napa Valley Casino
3466 Broadway
American Canyon CA 94503

March 10, 2003

California Gambling Control Commission
Sacramento California

Re: Michael Stan

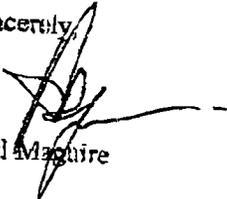
Dear Honorable Members of the Commission,

This letter is to update a previous letter of support presented to you for Mr. Mike Stan which was dated April 28th, 2002. Essentially there have been no changes in what I stated before, Mr. Stan has been a trustworthy staff member, and his education and employment experience are invaluable to a small card room such as mine.

His work ethic is very strong, he takes his responsibilities very seriously and is professional in every situation that presents itself. His family and home life are of the utmost importance to him, the last two years he has juggled his schedule in order to have enough free time to coach his son's Little League team.

I hope this answers any concern regarding Mr. Stan. I would request again that you approve Mr. Stan's work permit and allow him to keep a job he enjoys and is very good at.

Sincerely,


Paul Maguire

Paul Maguire, DC
Napa Valley Casino
3466 Broadway
American Canyon CA 94503

April 28th 2002

California Gambling Control Commission
Sacramento California

Re Mr. Micheal Stan

Dear Honorable Members of the Commission,

I am writing you today at the request of Mr. Stan who has been employed by me since my purchase of the Napa Valley Casino from Mr. Bill Long in late 2000.

It is my understanding that a concern has been raised regarding Mr. Stan's suitability for work in the gaming industry based on events which occurred in 1994.

In my view, the commission should take into consideration several facts regarding the character of Mr. Stan. In 1995, he was married and remains so. In 1997, he became a father. In 2000, he and his wife purchased their first home. He also supported his family while his wife attended post-graduate courses to become an elementary school teacher, which she successfully completed and is now teaching. This demonstrates that since that incident, Mr. Stan has taken several life changing steps that he could only be successful in if he were in fact a responsible individual.

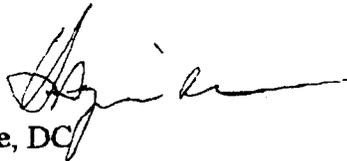
Mr. Stan has demonstrated to me a strong work ethic, the highest of responsibility in his duties, and has been professional in all of his work for me at the Napa Valley Casino.

He has been licensed locally in Santa Rosa, Petaluma, and American Canyon after 1994. He worked at the Napa Valley Casino prior to my ownership.

Because of Mr. Stan's extensive background and work history in the gaming industry, he has been a strong asset to myself, being new in the industry. He's financially stable, and dependable. He will be submitting an application for a key employee, in addition to his work permit. I have few candidates I can designate as key employees being a small business with limited staff and limited resources.

I would request your approval of Mr. Stan's work permit, and his forthcoming key employee application.

Sincerely,



Paul Maguire, DC

California Gambling Control Commission
P.O. Box 526013
Sacramento, California 95852-6013

May 29, 2002

Dear Commissioners,

This is a letter of reference for Michael Stan. I have known Michael for approximately six years and have always known him to be honest, hard working and a man of good character. I am aware of his past problem, but in no way do I see him a risk to the gaming industry nor any other part of the general public.

As a police officer I deal with repeat offenders on a regular basis and for the six years that I have known him it never crossed my mind that he would consider breaking any law. He has a good reputation and deals well with people of all walks of life. I know that he enjoys his job and takes pride in doing it well. I do not believe he would jeopardize his ability to make a living and provide for his wife and five year old son for any reason.

I think Mike should be granted his gaming license based on the man I know now, not based on what he did in the past that has been expunged from the record.

With Respect,

Sgt. Joseph Allen
Vallejo Police Department

05-2902


To Whom it May Concern,

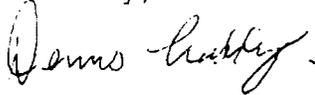
April 2002

I have known Mike Stan for over six years. I have worked with both he and his wife, Lisa. He is highly respected by all he works with as well as the customers he serves. Many times I asked him to work extra hours or come in early or help out and his answer is always, "yes."

He has shared with me that despite the dismissal of all charges against him that your agency is concerned about his character. I will state without hesitation that Mike Stan has the character of the highest quality. Every person I have spoken to who has known him or has worked with him holds him in the highest esteem. He poses no threat or danger to the gaming industry, in fact he is the exactly the sort of person that makes this industry enjoyable and safe for those around him because the people who come into contact with him know he ALWAYS abides by the rules.

Regardless of what happened nearly a decade ago, during the years that I have known him, his professionalism and integrity are above reproach. He has a good heart and a family he loves very much and it would be, in my opinion, a great shame that your agency would deny him the opportunity to provide for his family in an industry he enjoys working in and is very good at.

Sincerely,



Dennis Luddy
Casino Consultant
415-497-0319



DR. RONALD J. KERNAGHAN
 Senior Pastor
 BOB MORTON
 Director of Pastoral Care
 CRAIG DEARE
 Youth Pastor
 HUGHES HUFFMAN, JR.
 Director of Music
 RICHARD P. HEFFERNAN
 Business Administrator
 JOANE GRUBAUGH
 Organist

Come Catch the Spirit of Love LA HABRA HILLS PRESBYTERIAN CHURCH

Dear sir,

I want to commend Mike Stan to you as an outstanding and trustworthy person. I have known Mike for over a year as a pastor and friend. Earlier this summer I officiated at his wedding, and in preparation for the wedding I worked with Mike in some pre-marital counseling. Mike is a bright young man with excellent work habits, and he is honest. He has an engaging personality, exceptional people skills and a solid record of dependability. I am pleased to recommend him without qualification.

Sincerely,

Ronald J. Kernaghan

Rev. Ronald J. Kernaghan Ph.D



Gary LeDonne

7270 Elphick Rd
Sebastopol, California
95472

Phone: 707-828-1392
FAX: 707-824-8660
email: popegal6@aol.com

Saturday, September 15, 2001

Department of Gaming Control
Sacramento, California

Dear Gaming Commission,

I am writing on behalf of Michael Stan. I have known Mike for eleven years. He is married to my daughter and is the father of my fourth grandchild (their only child).

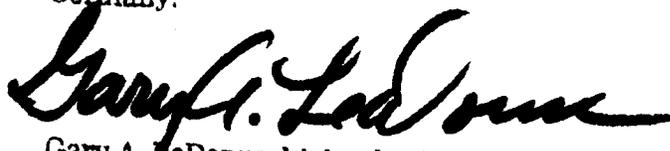
I have counseled with Mike at various times over the years concerning his probation work program and job situation. In all our conversations, he shows deep concern about remaining employed. He is currently working as a shift manager at a small card room in Napa County where he holds a permit from the Napa Valley Sheriff's Department. Granting a license from your office would enable him to continue to work in the profession of his choice and more importantly provide well for his family.

Mike and Lisa moved away from the environment where he got into trouble nearly six years ago. He has reestablished himself in a new community, developed new friends, attends church, and has a spotless record since his charges have been expunged.

I recently retired from the Sonoma County Probation Department after working with corrections for eighteen years. It is my opinion that Mike has lived up to all the rules and expectations since his probation and that is why the judges wisely saw fit to dismiss his charges. He has in no way let them down. Of course, one could say that I am biased because of my relationship to Mike, but one could also say I can be most critical because he is married to my daughter.

In my opinion, Mike has used his second chance granted by the judicial system to the utmost and I am convinced that the court system will never have to deal with Mike Stan again. He has become a model citizen and a responsible husband and father. Thank you for your consideration.

Cordially,



Gary A. LeDonne, high school chaplain

Napa Valley Casino
2466 Broadway
American Canyon
707-644-8851
Vence Caballero, Casino Manager

To Whomever it May Concern,

May 2, 2001

This is a letter of recommendation for Mike Stan. I have worked in the gaming business for over twenty years and I would not be exaggerating in the least to say that he is the most trust worthy employee I've ever worked with.

When I became manager at Napa Valley Casino he was the first person I called to ask to come and work for me in a management capacity. I know when he is in charge of a shift that everything will be done the right way and that I don't have to worry. The customers like him and more importantly, respect him. The employees know that he tries to be as fair as possible in all situations.

I know about Mike's past legal problem, but I still would never hesitate to ask him to supervise in any financial transaction. He's honest and hard working and invaluable as an employee.

I have never regretted having Mike work with me and I don't know of one person who has a bad word to say about him in his job performance.

Signed,



Vence Caballero
Casino Manager



Jok-erz Wild Casino, Inc.
5151 Montero Way Petaluma, CA 94954
Phone: (707) 795-6121 Fax: (707) 795-6925

P. 1

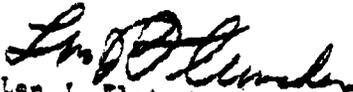
August 23, 1999

To Whom it May Concern:

Mike Stan was brought aboard by Rich Parker as a main member of his management team. When Rich Parker left Jok-erz Wild to become poker room manager of a new large San Francisco club, Mike Stan was basically thrown into overseeing the general operation of Jok-erz Wild. Mike did not have any key position experience prior to this. He did not have much help from the owners. My father, who was chairman of the board, was in ill health prior to his passing away in 1998, and the corporation president lived in Southern California. He had to learn and make decisions on his own.

Rich Parker assured me that Mike had a lot of heart, desire, and his honesty was without question. I found that assessment to be 100% correct.

I come from a non-gaming background. When my father died, I was appointed to oversee the families interests. Mike was extremely helpful. He was dedicated to Jok-erz Wild. I feel Mike has a bright future in the gaming industry. He has gained alot of business experience the last two years that would make him a valuable asset to any business, in or out of the gaming industry.


Len J. Fleischer, President
Jok-erz Wild Casino

Len Fleischer, President, P.O. Box 1193, Columbus, NE 68602-1421
(800) 844-3288

August 26, 1995

To whom it may concern.

I Kay Johnson, worked with Mike Stan for approximately 4 years at the City of Anaheim. He works well with the public and also works well with his co-workers. Mike ran a very successful program and put many extra hours into his job. He is very much a "team player" and will help out where ever needed. His job included many responsibilities including: public relations, money matters, scheduling, organization, and promotional assistance. He is a very trustworthy and honest individual he always tried to be fair and to give the "customers" the benefit of the doubt. I have always known him to follow through with his job and to accomplish what ever task is assigned to him know matter the difficulty. I would recommend Mike for any job and feel that he would be a great asset to any establishment.

Kay Johnson,

Tiny Tot Director
2770 East Diana Ave.
Anaheim, Ca. 92806

Dear Commission of Gaming,

September 7, 2001

My name is Michael Stan and I'm writing this letter to ask you to grant me a license in the gaming industry. It's true that years ago I made some big mistakes, but this letter is not about my mistakes. I have done everything physically possible to make restitution for that. This letter is about my life now.

I have a beautiful wife named Lisa who I married in 1995 and who I've been in love with since 1990. We have a energetic and fun-loving son who is four years old named Cade, who is my heart and my joy. Last year we bought a house in Santa Rosa where we BBQ with our neighbors as our kids play together. I have a wonderful life now that I've worked very hard to get.

Included are some of the letters I've gathered in the past regarding my work history and personal character, I'm not a perfect man, but I am a changed man. I would never do anything that would even in the slightest way would jeopardize the life I've built for myself.

Since the judges saw fit to dismiss my charges I have been cleared to be licensed by Sonoma County Sheriff's Department, Petaluma Police Department two times and Napa County Sheriff's Department. My job has allowed for me not only to enjoy my profession, but provide enough money in this very expensive part of the country to allow for my wife, Lisa to go back to school. In May she graduated with her BA in history and is now teaching junior and senior high part time at Santa Rosa Christian School while working on her teaching credential now that Cade is in preschool.

I hope you can see in these letters that I try with everything I have to prove that I am worth the second chance the judges saw fit to give to me. I take great pride in being a great employee and a upright member of society. I now ask very humbly and sincerely for you to please see my situation not as a liability, but as a success story.

Yours truly,



Michael A. Stan
707-577-8868

Please feel free to call me with any questions or if you'd like to interview me in person I'd be happy to arrange a trip to Sacramento.



THE 101 CASINO

P.O. BOX 751535 • PETALUMA, CA 94975 • TELEPHONE 707 795-6121 • FAX 707 795-6925

October 6, 2006

To whom it may concern,

As General Manager of The 101 Casino, I am writing in regards of an employee. (Mike Stan). I am familiar with Mike's background and his passed as well as his problems to obtain his key employee license at this time. Yes! Mike did make a terrible mistake in his youth day but has been given a second chance now for some 12 years. He has proven to be one of the best floor personal that we have by far, his ability to deal with every circumstance day to day and take care of unforeseen problems that are customer related or coworkers is really at a very high standard. His involvement and dictation with his family and their church is valued highly as well as coaching his own and others children at Santa Rosa Christian School. Mike has showed that he has made a positive change in his life and is a tremendous asset to our company. More important then anything, he is focus and pointed in all right directions to continue to be productive we believe for the remanding period of his life. To deny him of any type of license and force him possible to be looking for another job, would be unfair to his own children who now look up to him for leadership, as well as his spouse or himself which could have a terrible impact long term. I fully give you my honest opinion and would love to have 10 Mikes. If you have any questions at all, please do not hesitate to call me and pick my brain, fell more than free to;

Sincerely; Randy Yaple G.M.

To: California Gaming Commission
From: Vence Caballero
Re: Mike Stan

Dear Commissioners:

October 15, 2006

I am writing a letter of support for Mike Stan. I have known Mike for nine years beginning when I worked with his wife Lisa at Winner's Circle, in Santa Rosa in 1997. They had just had their first son and I was instantly drawn to them as two very kind and generous people. Mike's reputation of professionalism was recognized by all who knew him, especially those of us who had spent many years in the poker business.

When I moved over to Petaluma to work, Mike hired me and was my boss, but I never had such a great relationship with a supervisor. He was always organized, could solve problems "on the fly" and was simply loved by both employees and customers.

I didn't know Mike when he had his legal issues, but I know in the last nine years he has been nothing but loyal, generous and upstanding as first my boss, then my colleague and my friend.

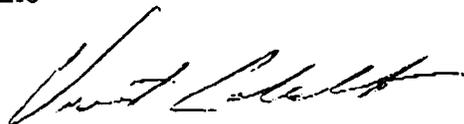
We have all done things in our pasts that we regret, but Mike paid his debt, and learned from his mistakes and has spent the last decade being a great friend, worker, husband and Dad to his two sons, Cade (9) and Rcece (1). It is high time for this to stop following him around.

The judge saw fit to dismiss the charges, and over the last 10 years the cities of Santa Rosa, American Canyon and Petaluma, as well as your commission have all granted him gaming licenses. My hope, and what I believe will serve justice in this matter is for you as commissioners to grant him a key employee license. Mike should be able to continue to work and grow professionally in the career of his choice, one that he is very good at. He is exactly the kind of person that gives this business a level of professionalism and respect in the community that is so important to the future of gaming.

I would be happy to discuss this matter further if needed, please don't hesitate to contact me.

Most Sincerely,

Vencent Caballero, Floor Supervisor
The Palace Casino
707-758-7084



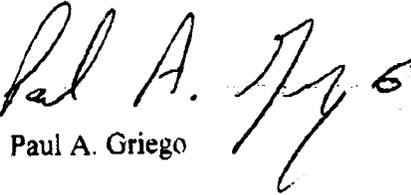
To Whom It May Concern:

10/25/06

My name is Paul A. Griego and I have worked for the Sonoma County Sheriff Department for almost ten years. The letter I am writing you is about a gentleman named Mike Stan. I have lived next to Mike and his family for the past six years. Through these years I have learn about Mike, like he enjoys playing with his two sons. I know that he works at night and even though he comes home and is tired he still plays with the kids. Mike also donates plenty of his time to coaching many youth sports such as Baseball, Basketball, and Soccer. Coaching youth sports take a lot of time and effort, not to mention a love for kids. Even when he got a paying job coaching JV basketball, he donated his earning back to the school. Once a week he cooks a BBQ for the school's lunch which I am sure many of students and faculty enjoy.

About three years ago my landlord was selling the house that my family and I lived in and Mike was able to take give us a down payment to buy the house out of his own equity. This was something I did not ask him for, but he brought the idea to me. I was ennead and Mike as a good friend help out my family and I.

These are just a few things this man does for people and the community we live in. Mike is a loving father, great coach and a good friend. I am glad I was able to meet a gentleman such as Mike six years ago. I hope this letter has been helpful, and thank you for your time.


Paul A. Griego



THE 101 CASINO

P.O. BOX 751535 • PETALUMA, CA 94975 • TELEPHONE 707 795-6121 • FAX 707 795-6925

To Whom It May Concern:

I am writing this letter of recommendation for my friend and co-worker, Michael Stan. My name is Michael Scalercio and I am currently the Administrative Security Advisor for the 101 Casino. I have maintained this position for over 3 years and currently oversee the Security and Surveillance Divisions. I came from Law Enforcement background (Richmond Police Department) where I was a patrolman and Narcotics Detective. I worked in Law Enforcement for approximately 10 years and I am now retired due to an on duty injury.

I have had the pleasure of knowing Mike Stan since I started working at the 101 Casino more than 3 years ago. From the first time I met Mike he has been a wealth of knowledge that I have utilized on numerous occasions. Mike has always been supportive when asked for help by either myself or the Officers and Operators that I supervise. I have even asked Mike to watch the Officers when they are on the gaming floor to make sure that they are following procedures and interacting well with the other employees and customers. Mike has never refused to help and has always been very honest in his reports whether it is positive or negative. Mike's primary responsibility is to monitor the gaming floor and the customers that are playing. On numerous occasions Mike has assisted the Security Officers in dealing with out of control customers and has used his friendly attitude to ease difficult situations that could have resulted in a physical altercation. I know from speaking with the Security Officers and Surveillance Operators that Mike Stan is one of their most trusted and favorite Floor Supervisors to work with and he is always willing to help. I have never seen Mike lose his temper or use inappropriate language towards anybody. He is very fair when dealing with the customers which can be very challenging.

In my opinion Michael Stan is a great person to be around and work with. He is someone that I trust and enjoy working with on a daily basis. I have only known Mike for 3 years but in that time am proud that we are co-workers and friends.

Respectfully Submitted,

Michael Scalercio
Administrative Security Advisor



CALIFORNIA GAMBLING CONTROL COMMISSION
2399 Gateway Oaks Drive, Suite 100, Sacramento, CA 95833-4231
(916) 263-00700 FAX (916) 263-0452

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 Commission who will make the statements available for inspection and reproduction.

With respect to the Commissioners, and the Executive Director of the Commission, the Commission shall make and retain a copy and forward the original of these statements to the FPPC.

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

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

Associate Governmental Program Analyst 2, 4

Staff Services Analyst 2, 4

LEGISLATIVE & PUBLIC AFFAIRS OFFICE

Deputy Director 1

Associate Governmental Program Analyst 2

Staff Services Analyst 2

SUPPORT SERVICES

Deputy Director 1

Staff Services Manager I 1

Senior Programmer Analyst 2, 3

Systems Software Specialist I 2, 3

Associate Governmental Program Analyst 2, 4

Staff Services Analyst 2, 4

Senior Accounting Officer 2, 4

Associate Budget Analyst 4

Associate Information System Analyst (Specialist) 2, 3

Associate Personnel Analyst 4

LICENSING DIVISION

Deputy Director 1

Staff Services Manager I 1

Associate Governmental Program Analyst 2

Staff Services Analyst 2

Management Services Technician 2

COMPLIANCE DIVISION

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

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 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 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 – Consultants shall be placed in disclosure category 1, subject to the following limitation: the Executive Director may determine in writing that a particular consultant although a “designated position”, has been hired to perform a range of duties that is limited in scope and, thus, is not required to fully comply with the disclosure requirements in this 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.

**Title 4 California Code of Regulations Section 12341
"Fee for Initial State Gambling License"**

- (a) Effective January 1, 2007, 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.

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

CHANGES TO MAY 18, 2006 NOTICED DRAFT

Proposed Addition: California Code of Regulations, Title 4, Division 18,

Chapter 10. Discipline, Hearings, and Decisions

12550. Purpose and Scope	1
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12550. Purpose and Scope

- (a) The purpose of this chapter is to set forth disciplinary procedures and guidelines applicable to the holder of any license, registration, permit, finding of suitability, or approval issued by the Commission. **This chapter does not apply to any denial proceedings under the Gambling Control Act.**
- (b) The disciplinary guidelines in this chapter are designed to promote fairness and flexibility in dealing with a wide range of disciplinary scenarios. Variation in penalties based on circumstances and factors in aggravation or mitigation are part of this disciplinary scheme to promote compliance with applicable laws and regulations.
- (c) Nothing in this chapter is intended to limit the authority of the Commission to issue orders of summary suspension pursuant to Business and Professions Code section 19913, or to limit the authority of the Division to issue emergency orders pursuant to Business and Professions Code section 19931.
- (d) Nothing in this chapter shall be construed to prevent the Commission from:
- (1) ~~ordering~~ **Ordering** an investigation by Commission staff on a matter brought before the Commission;
 - (2) ~~Imposing any fine upon any person licensed or approved, pursuant to Business and Professions Code section 19824, subdivision (b);~~
 - (3) ~~instituting~~ **Instituting** a civil action in any superior court to restrain a violation of the Gambling Control Act, pursuant to Business and Professions Code section 19824, subdivision (g);
 - (4) ~~Referring~~ **referring** a matter to the Attorney General or any district attorney or city attorney for civil, criminal or administrative action; or
 - (5) ~~Requesting~~ **requesting** the Division of Gambling Control to conduct an investigation pursuant to information gathered independently by the Commission or supplied to it by a third party.

Proposed California Code of Regulations, Title 4, Division 18, Chapter 10 – Discipline, Hearings, and Decisions
15-Day Change dated May 18, 2006: Additions in *italicized underline*; deletions in *italicized strikeout*.

Current 15-day Change: Additions in **bold underline**; deletions in **bold strikeout**.

Revision Date: September 29, 2006. Page 1 of 24.

1 (e) Nothing in this chapter precludes any person from notifying the Commission or
2 the Division regarding any violations of law or reasons why the holder of any
3 license, registration, permit, finding of suitability, or approval should be
4 disciplined.

5 (f) Nothing in this chapter precludes the Division, in its discretion, from issuing
6 warning notices, notices to cure, advisory letters regarding violations or possible
7 violations of law, or from withdrawing such upon further investigation.

8
9 Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19853(a)(3), 19854, 19912, 19914,
10 19920, 19922, 19924, 19930, 19971, and 19984 of the Business and Professions Code.

11 Reference: Sections 19913, 19930, and 19931 of the Business and Professions Code.
12

13 **12552. Settlements**

14 (a) At any time, the Commission and respondent may enter into a settlement of the
15 accusation as provided in this section.

16 (b) Any settlement of an accusation shall include a plan for immediate abatement of
17 the violation, a plan for immediate compliance with all statutory and regulatory
18 requirements, an agreement to any penalty imposed, and shall be a full and final
19 settlement of the violation including a complete waiver of all judicial or other
20 review unless otherwise agreed to by the Commission.

21 (c) Any settlement of an accusation shall be submitted by the Division for approval
22 by the Commission at a noticed Commission meeting. The Commission shall
23 have final approval authority concerning any such settlement. If the Commission
24 rejects a settlement or agreement, and no amended agreement or settlement is
25 reached before two additional regularly noticed Commission meetings have
26 concluded, or sixty days have elapsed, whichever is later, the Division shall
27 proceed with the formal hearing process under this Chapter.
28

29 Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19853(a)(3), 19854, 19912, 19920,
30 19930, 19942, and 19984 of the Business and Professions Code.

31 Reference: Sections 19824, 19826, 19827, 19840, and 19930 of the Business and Professions Code.
32

33 **12554. Formal Hearing Process**

34 (a) Upon the filing with the Commission of an accusation by the Division
35 recommending revocation, suspension, or other discipline of a holder of a
36 license, registration, permit, finding of suitability, or approval, the Commission
37 shall proceed under Chapter 5 (commencing with Section 11500) of Part 1 of
38 Division 3 of Title 2 of the Government Code. **Discipline shall be in**
39 **accordance with the guidelines of this chapter, summarized for**
40 **convenience only in CGCC-12554 (New 09-06), Summary Chart of**
41 **Disciplinary Guidelines, attached as Appendix A to this chapter.**

- 1 (b) In the event that the Division cannot present the accusation, the Commission
2 may request outside counsel or representation by another state agency or may
3 adequately segregate one or more Commission staff members from the
4 Commissioners and Commission legal unit to present the accusation.
- 5 (c) The Administrative Law Judge and Commission shall base their decisions on
6 written findings of fact, including findings concerning any relevant aggravating or
7 mitigating factors. Findings of fact shall be based upon a preponderance of the
8 evidence standard. The "preponderance of the evidence standard" is such
9 evidence as when considered and compared with that opposed to it, has more
10 convincing force, and produces a belief in the mind of the fact-finder that what is
11 sought to be proved is more likely true than not true.
- 12 (d) Upon a finding of a violation of the Gambling Control Act, any regulations
13 adopted pursuant thereto, any law related to gambling or gambling
14 establishments, violation of a previously imposed disciplinary or license
15 condition, or laws whose violation is materially related to suitability for a license,
16 registration, permit, or approval, the Commission may do any one or more of the
17 following:
- 18 (1) Revoke the license, registration, permit, finding of suitability, or
19 approval;
 - 20 (2) Suspend the license, registration, or permit;
 - 21 (3) Order the licensing authority of a city, county, or city and county to
22 revoke a work permit, pursuant to Business and Professions Code
23 section 19914, subdivision (a),
 - 24 (4) Impose any condition, limitation, order, or directive (including but not
25 limited to a directive to divest an interest in a business entity pursuant
26 to Business and Professions Code, section 19879);
 - 27 (5) Impose any fine or monetary penalty consistent with Business and
28 Professions Code sections 19930, subdivision (c), and 19943,
29 subdivision (b);
 - 30 (6) Stay, in whole or in part, the imposition of a revocation or suspension
31 against the holder of a license, registration, work permit, finding of
32 suitability, or approval, or
 - 33 (7) Order the holder to pay a monetary penalty in lieu of all or a portion of a
34 suspension. Within the guidelines of Business and Professions Code
35 sections 19930, subdivision (c), and 19943, subdivision (b):
 - 36 (A) If the respondent is an owner licensee of a gambling
37 establishment, the monetary penalty shall be equivalent of fifty

1 percent of the average daily gross gaming revenue, but not less than
2 ~~\$500~~300, for the number of days for which the suspension is stayed.

3 **(B)** **If the respondent is an owner licensee of a gambling**
4 **establishment other than a sole proprietor, and has committed**
5 **a separate violation from any violations committed by the**
6 **gambling establishment, the monetary penalty shall be \$500**
7 **plus the total of \$1000 multiplied by the number of tables in the**
8 **gambling establishment, and then divided by the respondent's**
9 **percentage ownership interest, which sum shall be multiplied**
10 **by the number of days for which the suspension is stayed.**

11 ~~(B)~~(C) **OPTION 1:** If the respondent is an owner of a third-party provider
12 of proposition player services *and the violation did not involve a*
13 *fraudulent, expired, borrowed, or stolen badge, and did not involve a*
14 *non-registered or non-licensed employee of the owner*, the monetary
15 penalty shall be the sum of \$500 plus the total of \$100 multiplied by
16 the maximum number of tables for which proposition player services
17 have been contracted at the gambling establishment where the
18 violation was charged, which sum shall be multiplied by the number
19 of days for which the suspension is stayed.

20 ~~(C)~~(D) **OPTION 2:** If the respondent is an owner of a third-party
21 provider of proposition player services *and the violation involved a*
22 *fraudulent, expired, borrowed, or stolen badge, or involved a non-*
23 *registered or non-licensed employee of the owner*, the monetary
24 penalty shall be the sum of \$500 plus the total of \$300 multiplied by
25 the maximum number of tables for which proposition player services
26 have been contracted at the gambling establishment where the
27 violation was charged, which sum shall be multiplied by the number
28 of days for which the suspension is stayed.

29 ~~(D)~~(E) If the respondent is an owner of a gambling business, the
30 monetary penalty shall be \$1500 per day for the number of days for
31 which the suspension is stayed.

32 ~~(E)~~(F) If the respondent is a key employee of a gambling establishment
33 or a supervisor of a gambling business or third-party provider of
34 proposition player services, the monetary penalty shall be \$100 per
35 day for the number of days for which the suspension is stayed.

36 ~~(F)~~(G) If the respondent is a holder of a work permit, a player or other
37 employee of a gambling business or third-party provider of
38 proposition player services, or a person not otherwise described
39 above, the monetary penalty shall be \$50 per day for the number of
40 days for which the suspension is stayed.

- 1 (e) If a person's state gambling license for a gambling establishment is revoked by
2 the Commission pursuant to this chapter, the Commission may stay such
3 revocation for a reasonable period of time to allow such person to sell or divest
4 himself or herself of such person's ownership interest in the gambling
5 establishment, provided that after the date on which the revocation is stayed by
6 the Commission, such person shall not be entitled to, realize, or receive any
7 profits, distributions, or payments that might directly or indirectly be due to such
8 person or which arise out of, are attributable to, or are derived from controlled
9 gambling. The Commission may appoint a receiver to oversee the operation
10 of the gambling establishment during the period of stayed revocation.
- 11 (f) If an owner of a third-party provider of proposition player services or gambling
12 business has his or her owner's license or registration revoked by the
13 Commission pursuant to this chapter, the Commission may stay such revocation
14 for a reasonable period of time to allow such person to sell or divest himself or
15 herself of such person's ownership interest in the third-party provider of
16 proposition player services or gambling business, provided that after the date on
17 which the revocation is stayed by the Commission, such person shall not be
18 entitled to, realize, or receive any profits, distributions, or payments that might
19 directly or indirectly be due to such person or which arise out of, are attributable
20 to, or are derived from the provision of proposition player services. The
21 Commission may appoint a receiver to oversee the operation of
22 proposition player services during the period of stayed revocation.
- 23 (g) For decisions concerning a gambling establishment, findings shall be made
24 regarding the number of tables in operation at the establishment and the annual
25 gross gaming revenue of the establishment.
- 26 (h) For decisions concerning an owner of a third-party provider of proposition player
27 services, findings shall be made regarding the maximum number of tables for
28 which proposition player services have been contracted at the gambling
29 establishment where the violation was charged.
- 30 (i) Any order to pay the costs of investigation or prosecution of the case shall be
31 fixed pursuant to Business and Professions Code section 19930, subdivision (d).
- 32 (j) For multiple violations, or for suspensions imposed by other jurisdictions based
33 on the same violations, the decision shall state whether any Commission-
34 imposed suspensions shall run consecutively or concurrently.
- 35 (k) Where a violation arises from a practice that is repeated many times an
36 hour or day in the conduct of controlled games, each instance of the
37 practice shall not be charged as a separate violation; however, the
38 frequency and duration of the practice shall be treated as aggravating or
39 mitigating factors.
40

- 1 Authority: Sections 19811, 19823, 19824, 19840, 19850, 19853(a)(3), 19854, 19912, 19914, 19920,
2 19922, 19924, 19930, 19932, 19971, and 19984 of the Business and Professions Code.
- 3 Reference: Sections 19857, 19858, 19859, 19862, 19870, and 19878 of the Business and Professions
4 Code, Section 11045 of the Government Code, and Section 10335 of the Public Contract
5 Code.

6

7 **12556. Factors in Mitigation or Aggravation of Penalty**

8 **Factors in mitigation may reduce a minimum penalty of suspension listed in**
9 **this chapter, either in number of days suspended and/or in the proposal to**
10 **stay a suspension for a period of probation and the payment of any monetary**
11 **penalty. Factors in aggravation may increase a penalty or be taken into**
12 **consideration in determining whether or not to allow a suspension to be**
13 **stayed upon payment of a monetary penalty.** If presented by complainant or
14 respondent, the Commission shall consider the following factors in mitigation or
15 aggravation of the penalty imposed:

- 16 (a) Violation of any previously imposed or agreed upon condition, restriction or
17 directive.
- 18 (b) Whether or not the conduct was knowing, willful, reckless, or inadvertent.
- 19 (c) The extent to which respondent cooperated with the Division or Commission
20 during the investigation of the violation.
- 21 (d) The extent to which respondent was honest with the Division or Commission
22 during the investigation of the violation.
- 23 (e) The extent to which respondent is willing to reimburse or otherwise make
24 whole any person who has suffered a loss due to the violation.
- 25 (f) Whether respondent has initiated remedial measures to prevent similar
26 violations.
- 27 (g) The extent to which respondent realized an economic gain from the violation.
- 28 (h) Disciplinary history of respondent, repeated offenses of the same or similar
29 nature, or evidence that the unlawful act was part of a pattern or practice,
30 **including the frequency or duration of any pattern or practice which**
31 **violates applicable law.**
- 32 (i) Any other aggravating factors, including any factors which the Commission
33 determines to bear on the health, safety, or welfare of the public.
- 34 (j) The extent to which there was actual or potential harm to the public or to any
35 patron.
- 36 (k) The extent to which an owner licensee or key employee of a gambling
37 establishment, owner or supervisor of a third-party provider of proposition

1 player services, or owner or supervisor of a gambling business exercised due
2 diligence in management or supervision.

3 (l) If the violation was caused by an employee of a third-party provider of
4 proposition player services or gambling business, the extent to which the
5 owner licensee, licensee, or registrant knew or should have known of the
6 employee's improper conduct; the level of authority of the employee involved
7 and the extent to which the employee acted within the scope of his or her
8 authority in committing the violation.

9 (m) If the violation was caused by a third-party provider of proposition
10 player services or gambling business, the extent to which the owner licensee
11 or gambling establishment knew or should have known of the improper
12 conduct.

13 (n) If the violation was caused by an independent contractor of a gambling
14 business, the extent to which the gambling business owner licensee, licensee,
15 or registrant knew or should have known of the independent contractor's
16 improper conduct; the level of authority of the independent contractor involved
17 and the extent to which the independent contractor acted within the scope of
18 his or her authority in committing the violation.

19 (o) If the violation was caused or committed by a third party, the extent to which
20 the owner licensee, licensee, or registrant knew or should have known of the
21 third party's improper conduct.

22 (p) Any relevant evidence offered by respondent in mitigation of the violation.
23

24 Authority: Sections 19811, 19823, 19824, 19840, 19850, 19853(a)(3), 19854, 19912, 19914, 19920,
25 19922, 19924, 19930, 19932, 19971, and 19984 of the Business and Professions Code.

26 Reference: Sections 19857, 19858, 19859, 19862, 19870, and 19878 of the Business and Professions
27 Code.

28 29 **12558. Disciplinary Guidelines for Holders of Work Permits**

30 Pursuant to Business and Professions Code, section 19914, the holder of a work
31 permit shall be subject to a minimum penalty of a three-day suspension, which may
32 be stayed on terms and conditions and any monetary penalty as described in
33 section 12554(d)(7) of this chapter, up to a maximum penalty of revocation by the
34 Commission if the Commission finds that the holder:

35 (a) Engaged in or committed a prohibited act specified in Business and
36 Professions Code 19914, subdivision (a).

37 (b) Does not currently meet any criterion for eligibility or qualification.

1 (c) Violated or is in violation of any condition, limitation or directive previously
2 imposed on the work permit.

3 (d) Violated or is in violation of any Commission or Division regulations, including
4 those regulations regarding work permits in the California Code of
5 Regulations, title 4, division 18, chapter 2 (commencing with section 12100).

6 Authority: Sections 19811, 19823, 19824, 19911, 19912, 19914, 19920, 19930, 19932, and 19971 of
7 the Business and Professions Code.

8 Reference: Section 19878 of the Business and Professions Code.
9

10 **12560. Disciplinary Guidelines for Third-party providers of proposition player**
11 **services licensees or registrants**

12 (a) If the Commission finds that an owner of a third-party provider of proposition
13 player services, as that term is used in California Code of Regulations, title 4,
14 section 12200, is out of compliance with any mandatory duty specified in or
15 imposed by the Gambling Control Act or any Commission or Division regulation,
16 which is not otherwise listed in these disciplinary guidelines, the penalty shall be
17 one day of suspension of proposition player services from either specified
18 gambling establishments or all gambling establishments, as the circumstances
19 and factors in mitigation or aggravation apply and which may be stayed on terms
20 and conditions and any monetary penalty as described in section 12554(d)(7) of
21 this chapter, which may be stayed by the Commission upon the payment of a
22 monetary penalty as follows:

23 ~~(1) If the third party provider of proposition player services has 5 or less~~
24 ~~licensees or registrants, the penalty shall be between \$50 and \$100,~~
25 ~~based upon factors in mitigation and aggravation.~~

26 ~~(2) If the third party provider of proposition player services has 6 to 12~~
27 ~~licensees or registrants, the penalty shall be between \$100 and~~
28 ~~\$2000, based upon the factors in mitigation and aggravation.~~

29 ~~(3) If the third party provider of proposition player services has 13 or~~
30 ~~more licensees or registrants, the penalty shall be between \$2000~~
31 ~~and \$10000, based upon the factors in mitigation and aggravation.~~

32 (b) A license or registration granted by the Commission for an owner of a third-
33 party provider of proposition player services, as that term is used in California
34 Code of Regulations, title 4, section 12200, shall be subject to a minimum
35 discipline of suspension of **seven** ~~five~~ days from either specified gambling
36 establishments or all gambling establishments, as the circumstances and factors
37 in mitigation or aggravation apply, and a maximum discipline of revocation, which
38 may be stayed on terms and conditions and any monetary penalty as described
39 in section 12554 (d)(7) of this chapter, if the Commission finds that:

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- (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,
- (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 third party providers of proposition player services,
- (7) The owner has provided proposition player services in violation of California Code of Regulations, title 4, section 12200.7, subdivision (b)(9) or (b)(11),
- (8) The owner has failed to fully disclose financial arrangements in violation of California Code of Regulations, title 4, section 12200.7, subdivision (b)(15),
- (9) The primary owner has failed to report cheating, in violation of California Code of Regulations, title 4, section 12200.7, subdivision (b)(18),
- (10) The owner has purchased, leased, or controlled equipment in violation of California Code of Regulations, title 4, section 12200.7, subdivision (b)(21),
- (11) The owner has failed to have the proposition player contract approved, in violation of California Code of Regulations, title 4, section 12200.7, subdivision (b)(22), or section 12200.9,
- (12) The owner has authorized or provided payment to or receipt by the gambling establishment, in violation of California Code of Regulations, title 4, section 12200.7, subdivision (c),

- 1 (13) The owner has been cheating, or has induced or instructed
2 another to cheat, pursuant to Penal Code, sections 337t, 337u, 337v,
3 337w, or 337y,
- 4 (14) The owner has committed extortion (as that term is defined in
5 Chapter 7 of Title 13 of Part 1 of the Penal Code, commencing with
6 section 518),
- 7 (15) The owner has committed loan-sharking (as that term is used in
8 Civil Code section 1916-3, subdivision (b)),
- 9 (16) The owner has conducted or negotiated illegal sales of controlled
10 substances (as that term is used in Chapter 1 (commencing with
11 Section 11000) of Division 10 of the Health and Safety Code) or
12 dangerous drugs (as that term is used in Business and Professions
13 Code, section 4022),
- 14 (17) The owner has committed bribery (as that term is used in Penal
15 Code section 67 or 67.5),
- 16 (18) The owner has committed money laundering (as that term is used
17 in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with
18 Section 186.9),
- 19 (19) The owner has granted rebates to patrons without full disclosure,
20 in violation of California Code of Regulations, title 4, section 12200.7,
21 subdivision (19),
- 22 (20) The owner has violated the provisions regarding playing books
23 listed in California Code of Regulations, title 4, section 12200.13,
- 24 (21) The owner has committed any of the acts listed in California
25 Code of Regulations, title 4, section 12200.18, subdivisions (a), (b), (d),
26 (e), (f), (i), (j), (l), (m), or (n), or
- 27 (22) The owner is providing services as a gambling business without
28 first obtaining a gambling business registration or license, in violation of
29 California Code of Regulations, title 4, section 12220 et seq.
- 30 (c) A supervisor, player, or other employee, as those terms are used in California
31 Code of Regulations, title 4, section 12200, shall be subject to a minimum
32 monetary penalty of \$100 and/or a suspension of three days and a maximum
33 penalty of revocation if the Commission finds that:
- 34 (1) The supervisor, player, or other employee has violated or is out of
35 compliance with conditions, limitations, or orders or directives imposed
36 by the Commission, either as part of an initial grant of license or
37 registration, renewal of such, or pursuant to disciplinary action,

- 1 (2) The supervisor, player, or other employee has engaged in any
2 dishonest, fraudulent, or deceptive activities in connection with
3 controlled gambling or the provision of proposition player services,
- 4 (3) The supervisor, player, or other employee has committed any act
5 punishable as a crime, not otherwise listed in these disciplinary
6 guidelines, which substantially relates to the duties and qualifications of
7 the licensee or registrant, or which occurred in a gambling
8 establishment or the associated adjacent property, or
- 9 (4) The supervisor, player, or other employee has engaged in any conduct
10 on the premises of the gambling establishment or in connection with
11 controlled gambling or the provision of proposition player services
12 which is inimical to the health, welfare, or safety of the general public.
- 13 (5) The supervisor, player, or other employee has either failed to wear a
14 badge, worn a badge which was covered, worn a false or altered badge
15 or a badge issued for a different gambling establishment, worn another
16 person's badge, or worn an expired badge,
- 17 (6) The supervisor, player, or other employee has engaged in fighting or
18 has intentionally provoked a patron or employee at a gambling
19 establishment,
- 20 (7) The supervisor, player, or other employee has maliciously or willfully
21 destroyed or damaged the property of the gambling establishment,
22 employee, or patron,
- 23 (8) The supervisor, player, or other employee has accepted tips, gratuities,
24 complimentaries, or gifts from gambling establishment staff or patrons
- 25 (9) The supervisor, player, or other employee has committed any of the
26 acts listed in California Code of Regulations, title 4, section 12220.18,
27 subdivision (a), or
- 28 (10) The supervisor, player, or other employee has failed to comply
29 with California Code of Regulations, title 4, section 12200.21.

30 (d) A supervisor, player, or other employee, as those terms are used in California
31 Code of Regulations, title 4, section 12200, shall be subject to a minimum
32 monetary penalty of \$300 and/or a suspension of ~~7~~**five** days and a maximum
33 penalty of revocation if the Commission finds that:

- 34 (1) The supervisor, player, or other employee has intentionally
35 misrepresented a material fact on an application, request to convert, or
36 supplemental application for licensure, registration, or approval,
- 37 (2) The supervisor, player, or other employee has been cheating, pursuant
38 to Penal Code, section 337x,

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- (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 granted rebates to patrons without full disclosure, in violation of California Code of Regulations, title 4, section 12200.7, subdivision (19), 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 subdivisions (b), (c), (d), (f), (g), (h), (i), (j), or (k).

(e) A license 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, 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 12204 or 12200.11.

Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19854, 19859, 19875, 19912, 19913, 19914, 19920, 19922, 19924, 19930, 19931 19971, and 19984 of the Business and Professions Code.

Reference: Sections 19844, 19852, 19857, 19858, 19859, 19862, 19863, 19870, 19875, 19878, 19880, 19913, 19914, 19920, 19922, 19923, 19924, 19930, 19931, 19941 and 19942 of the Business and Professions Code.

1 **12562. Disciplinary Guidelines for Gambling business licensees or registrants**

2 (a) If the Commission finds that an owner of a gambling business, as that term is
3 used in California Code of Regulations, title 4, section 12220, is out of
4 compliance with any mandatory duty specified in or imposed by the Gambling
5 Control Act or any Commission or Division regulation, which is not otherwise
6 listed in these disciplinary guidelines, the penalty shall be one day of suspension
7 of gambling business services from either specified gambling establishments or
8 all gambling establishments, as the circumstances and factors in mitigation or
9 aggravation apply and which may be stayed on terms and conditions and any
10 monetary penalty as described in section 12554(d)(7) of this chapter. ~~, which~~
11 ~~may be stayed by the Commission upon the payment of a monetary penalty as~~
12 ~~follows:~~

13 ~~(1) If the gambling business has 5 or less licensees or registrants, the~~
14 ~~penalty shall be between \$50 and \$100, based upon factors in~~
15 ~~mitigation and aggravation.~~

16 ~~(2) If the gambling business has 6 to 12 licensees or registrants, the~~
17 ~~penalty shall be between \$100 and \$2000, based upon the factors in~~
18 ~~mitigation and aggravation.~~

19 ~~(3) If the gambling business has 13 or more licensees or registrants, the~~
20 ~~penalty shall be between \$2000 and \$10000, based upon the factors~~
21 ~~in mitigation and aggravation.~~

22 (b) A license or registration granted by the Commission for an owner of a
23 gambling business, as that term is used in California Code of Regulations, title 4,
24 section 12220, shall be subject to a minimum monetary penalty of \$2500 and/or
25 a discipline of suspension of **seven**~~five~~ days from either specified gambling
26 establishments or all gambling establishments, as the circumstances and factors
27 in mitigation or aggravation apply, and a maximum discipline of revocation by the
28 Commission if the Commission finds that:

29 (1) The owner has violated or is out of compliance with any conditions,
30 limitations, orders, or directives imposed by the Commission, either as
31 part of an initial grant of license or registration, renewal of such, or
32 pursuant to disciplinary action,

33 (2) The owner has been found, by any administrative tribunal or court, to
34 have violated or be in violation of any law involving or relating to
35 gambling,

36 (3) The owner has intentionally misrepresented a material fact on an
37 application or supplemental application for licensure or registration,

- 1 (4) The owner has engaged in any dishonest, fraudulent, or deceptive
2 activities in connection with controlled gambling or the provision of
3 proposition player services as a gambling business,
- 4 (5) The owner has violated any law or ordinance with respect to campaign
5 finance disclosure or contribution limitations, pursuant to Business and
6 Professions Code, section 19982,
- 7 (6) The owner has violated California Code of Regulations, title 4,
8 regarding annual fees for gambling businesses,
- 9 (7) The owner has been cheating, or has induced or instructed another to
10 cheat, pursuant to Penal Code, sections 337t, 337u, 337v, 337w, or
11 337y,
- 12 (8) The owner has committed extortion (as that term is defined in Chapter 7
13 of Title 13 of Part 1 of the Penal Code, commencing with section 518),
- 14 (9) The owner has committed loan-sharking (as that term is used in Civil
15 Code section 1916-3, subdivision (b)),
- 16 (10) The owner has conducted or negotiated illegal sales of controlled
17 substances (as that term is used in Chapter 1 (commencing with
18 Section 11000) of Division 10 of the Health and Safety Code) or
19 dangerous drugs (as that term is used in Business and Professions
20 Code, section 4022),
- 21 (11) The owner has committed bribery (as that term is used in Penal
22 Code section 67 or 67.5),
- 23 (12) The owner has committed money laundering (as that term is used
24 in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with
25 Section 186.9),
- 26 (13) The owner is providing services as a gambling business without
27 first obtaining a gambling business registration or license, in violation of
28 California Code of Regulations, title 4, section 12220 et seq., or
- 29 (14) The owner has committed any of the acts listed in California
30 Code of Regulations, title 4, section 12220.18, subdivisions (a), (b), (d),
31 (e), (f), (l), or (m).
- 32 (c) A supervisor, player, or other employee, as those terms are used in California
33 Code of Regulations, title 4, section 12220, shall be subject to a minimum
34 monetary penalty of \$100 and/or a suspension of three days and a maximum
35 penalty of revocation if the Commission finds that:
- 36 (1) The supervisor, player, or other employee has violated or is out of
37 compliance with conditions, limitations, or orders or directives imposed

- 1 by the Commission, either as part of an initial grant of license or
2 registration, renewal of such, or pursuant to disciplinary action,
- 3 (2) The supervisor, player, or other employee has engaged in any
4 dishonest, fraudulent, or deceptive activities in connection with
5 controlled gambling,
- 6 (3) The supervisor, player, or other employee has committed any act
7 punishable as a crime, not otherwise listed in these disciplinary
8 guidelines, which substantially relates to the duties and qualifications of
9 the licensee or registrant, or which occurred in a gambling
10 establishment or the associated adjacent property,
- 11 (4) The supervisor, player, or other employee has engaged in any conduct
12 on the premises of the gambling establishment or in connection with
13 controlled gambling which is inimical to the health, welfare, or safety of
14 the general public.
- 15 (5) The supervisor, player, or other employee has either failed to wear a
16 badge, worn a badge which was covered, worn a false or altered badge
17 or a badge issued for a different gambling establishment, worn another
18 person's badge, or worn an expired badge,
- 19 (6) The supervisor, player, or other employee has engaged in fighting or
20 has intentionally provoked a patron or employee at a gambling
21 establishment,
- 22 (7) The supervisor, player, or other employee has maliciously or willfully
23 destroyed or damaged the property of the gambling establishment,
24 employee, or patron,
- 25 (8) The supervisor, player, or other employee has accepted tips, gratuities,
26 complimentaries, or gifts from gambling establishment staff or patrons,
- 27 (9) The supervisor, player, or other employee has committed any of the
28 acts listed in California Code of Regulations, title 4, section 12220.18,
29 subdivision (a), or
- 30 (10) The supervisor, player, or other employee has failed to comply
31 with California Code of Regulations, title 4, section 12220.21.
- 32 (d) A supervisor, player, or other employee, as those terms are used in California
33 Code of Regulations, title 4, section 12220, shall be subject to a minimum
34 penalty of a monetary penalty of \$300 and/or a suspension of ~~7~~five days and a
35 maximum penalty of revocation if the Commission finds that:
- 36 (1) The supervisor, player, or other employee has intentionally
37 misrepresented a material fact on an application, request to convert, or
38 supplemental application for licensure, registration, or approval,

- 1 (2) The supervisor, player, or other employee has been cheating, pursuant
2 to Penal Code, section 337x,
- 3 (3) The supervisor, player, or other employee has committed extortion (as
4 that term is defined in Chapter 7 of Title 13 of Part 1 of the Penal Code,
5 commencing with section 518),
- 6 (4) The supervisor, player, or other employee has committed loan-sharking
7 (as that term is used in Civil Code section 1916-3, subdivision (b)),
- 8 (5) The supervisor, player, or other employee has conducted or negotiated
9 illegal sales of controlled substances (as that term is used in Chapter 1
10 (commencing with Section 11000) of Division 10 of the Health and
11 Safety Code) or dangerous drugs (as that term is used in Business and
12 Professions Code, section 4022),
- 13 (6) The supervisor, player, or other employee has committed bribery (as
14 that term is used in Penal Code section 67 or 67.5),
- 15 (7) The supervisor, player, or other employee has committed money
16 laundering (as that term is used in Chapter 10 of Title 7 of Part 1 of the
17 Penal Code, commencing with Section 186.9),
- 18 (8) The supervisor, player, or other employee has committed any of the
19 acts listed in California Code of Regulations, title 4, section 12220.18
20 subdivisions (c), (d), (f), (g), (h), (i), (j), or (k).
- 21 (e) A license or registration granted by the Commission for an owner of a
22 gambling business, or for a supervisor, player, or other employee, as those terms
23 are used in California Code of Regulations, title 4, section 12220, shall be subject
24 to revocation if the Commission finds that:

- 25 (1) The owner, supervisor, player, or other employee has been convicted of a
26 felony or a crime of moral turpitude that would disqualify the holder from
27 licensure, or
- 28 (2) The owner, supervisor, player, or other employee no longer meets any
29 criterion for eligibility, pursuant to California Code of Regulations, title 4,
30 sections 12224 or 12220.11.

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32 Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19853(a)(3), 19854, 19859, 19875,
33 19912, 19913, 19914, 19920, 19922, 19924, 19930, 19931, and 19971 of the Business and
34 Professions Code.

35 Reference: Sections 19844, 19852, 19857, 19858, 19859, 19862, 19863, 19870, 19875, 19878, 19880,
36 19913, 19914, 19920, 19922, 19923, 19924, 19930, 19931, 19941 and 19942 of the
37 Business and Professions Code.

38

1 **12564. Disciplinary Guidelines for Manufacturers or Distributors**

2 A registration granted by the Commission for a manufacturer or distributor of
3 gambling equipment shall be subject to suspension or revocation by the
4 Commission if the Commission finds that the registrant has violated California Code
5 of Regulations, title 4, section 12303, subdivision (b).
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7 Authority: Sections 19801(g), 19811, 19823, 19824, 19827(a)(1), 19840, 19841(r), 19850, 19854,
8 19859, 19875, 19912, 19913, 19914, 19920, 19922, 19924, 19930, 19931, and 19971 of the
9 Business and Professions Code.

10 Reference: Sections 19844, 19852, 19857, 19858, 19859, 19862, 19863, 19870, 19875, 19878, 19880,
11 19913, 19914, 19920, 19922, 19923, 19924, 19930, 19931, 19941 and 19942 of the
12 Business and Professions Code.

13
14 **12566. Disciplinary Guidelines for Gambling Establishments**

15 (a) If the Commission finds that a gambling establishment is out of compliance with
16 any mandatory duty specified in or imposed by the Gambling Control Act or any
17 Commission or Division regulation, or any local ordinance which directly affects
18 the public health, safety, or welfare, which is not otherwise listed in these
19 disciplinary guidelines, pursuant to Business and Professions Code section
20 19922, the penalty shall be one day of suspension, stayed upon the payment of a
21 penalty, within the guidelines of Business and Professions Code, sections 19930,
22 subdivision (c), and 19943, subdivision (b), as follows:

23 (1) If the establishment has five tables or less and has an annual gross
24 gaming revenue up to and including \$10,000, the penalty shall be between
25 \$50 and \$100, based upon the factors in mitigation and aggravation.

26 (2) If the establishment has ten tables or less or has an annual gross gaming
27 revenue over \$10,000, up to and including \$200,000, the penalty shall be
28 between \$100 and \$2000, based upon the factors in mitigation and
29 aggravation.

30 (3) If the establishment has ~~more than ten tables or has~~ an annual gross
31 gaming revenue over \$200,000, the penalty shall be between ~~\$2000~~ **250**
32 and ~~\$40,000~~ **5,000**, based upon the factors in mitigation and aggravation.

33 **(4) If the establishment has an annual gross gaming revenue over**
34 **\$1,000,000, the penalty shall be between \$500 and \$10,000, based**
35 **upon the factors in mitigation and aggravation.**

36 **(5) If the establishment has an annual gross gaming revenue over**
37 **\$15,000,000, the penalty shall be between \$2,000 and \$20,000, based**
38 **upon the factors in mitigation and aggravation.**

39 **(b) A state gambling license for a gambling establishment granted by the**
40 **Commission shall be subject to a minimum discipline of suspension for**

1 one day of normal business operation and a maximum discipline of
2 suspension for 30 days of normal business operation, which may be stayed
3 on terms and conditions and upon a monetary penalty of twenty-five
4 percent of the average daily gross gaming revenue, not more than \$10,000,
5 but not less than \$300, if the Commission finds that the establishment has
6 violated any of the following but has not been disciplined by the
7 Commission for such a violation previously:

8 (1) Been found, by any administrative tribunal or court in a separate
9 proceeding, to have violated or be in violation of any law involving or
10 relating to gambling, where the penalty imposed was a monetary fine
11 or citation,

12 (2) Failed to maintain adequate financing for chips in use or for player
13 banks,

14 (3) Failed to report the operation of unregistered gambling businesses
15 when the owners or management of the establishment knew or
16 should have known that these gambling businesses were operating
17 in the establishment,

18 (4) Did not disclose ownership, interest, or key employee status,
19 pursuant to Business and Professions Code, sections 19850, 19851,
20 19853, 19854, 19855, 19883, or 19901,

21 (5) Violated Business and Professions Code, section 19878 (contract
22 with, employment of, services provided by person(s) with denied,
23 suspended, or revoked license or registration),

24 (6) Violated Business and Professions Code, section 19912 (failure to
25 have valid work permit),

26 (7) Violated Business and Professions Code, section 19921 (failure to
27 exclude persons under 21 from access to gambling areas),

28 (8) Violated Business and Professions Code, section 19924 (failure to
29 maintain security controls),

30 (9) Violated any law or ordinance with respect to campaign finance
31 disclosure or contribution limitations, pursuant to Business and
32 Professions Code, section 19982,

33 (10) Provided false or incomplete financial data, in violation of
34 California Code of Regulations, title 4, chapter 7, article 4
35 (commencing with section 12400), regarding accounting and financial
36 reporting,

37 (11) Refused to allow Division or Commission inspection of records or
38 information required to be maintained pursuant to California Code of

1 Regulations, title 4, chapter 7, article 4 (commencing with section
2 12400), regarding accounting and financial reporting,

3 (12) Violated California Code of Regulations, title 11, section 2050,
4 subsection (a) (failure to maintain owner licensee or key employee on
5 premises),

6 (13) Violated California Code of Regulations, title 11, section 2052
7 (failure to furnish information), or

8 (14) Violated California Code of Regulations, title 11, section 2070
9 (unsuitable gaming activities).

10
11 ~~(b)~~(c) A state gambling license for a gambling establishment granted by the
12 Commission shall be subject to a minimum discipline of suspension for **seven**
13 **five** days of normal business operation and a maximum discipline of revocation,
14 which may be stayed on terms and conditions and any monetary penalty as
15 described in section 12554(d)(7) of this chapter, if the Commission finds that the
16 establishment has:

17 (1) Violated or is out of compliance with conditions, limitations, or orders or
18 directives imposed by the Commission, either as part of an initial grant of
19 license or registration, renewal of such, or pursuant to disciplinary action,

20 (2) Been found, by any administrative tribunal or *court in a separate*
21 *proceeding*, to have violated or be in violation of any law involving or
22 relating to gambling, where the penalty imposed was the suspension or
23 revocation of a license or privilege,

24 (3) Intentionally misrepresented a material fact on an application or
25 supplemental application for licensure or registration,

26 (4) Failed to maintain adequate financing for chips in use or for player banks,
27 and has been disciplined by the Commission for such a violation
28 previously,

29 (5) Failed to report the operation of unregistered gambling businesses when
30 the owners or management of the establishment knew or should have
31 known that these gambling businesses were operating in the
32 establishment, and has been disciplined by the Commission for such a
33 violation previously,

34 (6) Concealed or persistently did not disclose ownership, interest, or key
35 employee status, pursuant to Business and Professions Code, sections
36 19850, 19851, 19853, 19854, 19855, 19883, or 19901,

37 (7) Violated Business and Professions Code, section 19878 (contract with,
38 employment of, services provided by person(s) with denied, suspended, or

1 revoked license or registration), **and has been disciplined by the**
2 **Commission for such a violation previously,**

3 (8) Violated Business and Professions Code, section 19912 (failure to have
4 valid work permit), **and has been disciplined by the Commission for**
5 **such a violation previously,**

6 (9) Violated Business and Professions Code, section 19921 (failure to exclude
7 persons under 21 from access to gambling areas), **and has been**
8 **disciplined by the Commission for such a violation previously, or**
9 **violated Business and Professions Code, section 19941 (failure to prohibit**
10 **persons under 21 from gambling, loitering, being employed in gambling**
11 **areas, or using fraudulent identification to gamble, loiter, or be employed),**
12 **unless the licensee provides the defense described in Business and**
13 **Professions Code, section 19941, subdivision (c), or unless the licensee**
14 **shows that the licensee has reasonably relied on picture**
15 **identification which appears to be government issued, including**
16 **determining that the identification looks real, there are no obvious**
17 **alterations, the photograph and description reasonably match the**
18 **person, and the person reasonably looks age 21 or over.**

19 (10) Violated Business and Professions Code, section 19924 (failure to
20 maintain security controls), **and has been disciplined by the**
21 **Commission for such a violation previously,**

22 ~~(11) Violated Business and Professions Code, section 19941 (failure to~~
23 ~~prohibit persons under 21 from gambling, loitering, being employed in~~
24 ~~gambling areas, or using fraudulent identification to gamble, loiter, or be~~
25 ~~employed);~~

26 ~~(12)~~(11) Violated Business and Professions Code, section 19942 (willful
27 failure to report or pay license fee),

28 ~~(13)~~(12) Violated any law or ordinance with respect to campaign finance
29 disclosure or contribution limitations, pursuant to Business and Professions
30 Code, section 19982, **and has been disciplined by the Commission for**
31 **such a violation previously,**

32 ~~(14)~~(13) Provided false or intentionally incomplete financial data, in
33 violation of California Code of Regulations, title 4, chapter 7, article 4
34 (commencing with section 12400), regarding accounting and financial
35 reporting, **and has been disciplined by the Commission for such a**
36 **violation previously,**

37 ~~(15)~~(14) Refused to allow Division or Commission inspection of records or
38 information required to be maintained pursuant to California Code of
39 Regulations, title 4, chapter 7, article 4 (commencing with section 12400),

1 regarding accounting and financial reporting, **and has been disciplined**
2 **by the Commission for such a violation previously,**

3 ~~(16)~~(15) _____ Violated California Code of Regulations, title 11, section 2050,
4 subsection (a) (failure to maintain owner licensee or key employee on
5 premises), **and has been disciplined by the Commission for such a**
6 **violation previously,**

7 ~~(17)~~(16) _____ Violated California Code of Regulations, title 11, section 2052
8 (failure to furnish information ~~regarding employees~~), **and has been**
9 **disciplined by the Commission for such a violation previously, or**

10 ~~(18)~~(17) _____ Violated California Code of Regulations, title 11, section 2070
11 (unsuitable gaming activities), **and has been disciplined by the**
12 **Commission for such a violation previously.**

13 Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19853(a)(3), 19854, 19859, 19875,
14 19912, 19913, 19914, 19920, 19922, 19924, 19930, 19931 19971, and 19984 of the
15 Business and Professions Code.

16 Reference: Sections 19844, 19852, 19857, 19858, 19859, 19862, 19863, 19870, 19875, 19878, 19880,
17 19913, 19914, 19920, 19922, 19923, 19924, 19930, 19931, 19941 and 19942 of the
18 Business and Professions Code. **Department of Alcoholic Beverage Control v.**
19 **Alcoholic Beverage Control Appeals Board (2004), 118 Cal. App. 4th 1429, 1444-**
20 **1445.**

21
22 **12568. Disciplinary Guidelines for Holders of Licenses, Findings of Suitability,**
23 **or Approvals**

24 (a) A license for an individual or any finding of suitability or approval granted by the
25 Commission, **other than a work permit, and an owner license for a gambling**
26 **establishment if the owner licensee has committed a separate violation**
27 **from any violations committed by the gambling establishment** shall be
28 subject to a minimum discipline of suspension for ~~three days~~**one day** of normal
29 business operation and a maximum discipline of revocation, which may be
30 stayed on terms and conditions and any monetary penalty as described in
31 section 12554(d)(7) of this chapter, if the Commission finds that the holder has:

32 (1) Violated or is out of compliance with conditions, limitations, or orders or
33 directives imposed by the Commission, either as part of an initial grant of
34 license or registration, renewal of such, or pursuant to disciplinary action,

35 (2) **Been found, by any administrative tribunal or court in a separate**
36 **proceeding, to have violated or be in violation of any law involving or**
37 **relating to gambling, where the penalty imposed was a monetary fine**
38 **or citation,**

1 **(3) Been convicted in any jurisdiction of any offense involving or relating**
2 **to gambling, where the penalty imposed was a monetary fine,**

3 ~~(2)~~(4) Engaged in any dishonest, fraudulent, or deceptive activities in
4 connection with controlled gambling,

5 ~~(3)~~(5) Committed any act punishable as a crime, not otherwise listed in these
6 disciplinary guidelines, which substantially relates to the duties and
7 qualifications of the licensee or registrant, or which occurred in a gambling
8 establishment or the associated adjacent property, or

9 ~~(4)~~(6) Engaged in any conduct on the premises of the gambling establishment
10 or in connection with controlled gambling which is inimical to the health,
11 welfare, or safety of the general public.

12 (b) A license, finding of suitability, or approval granted by the Commission, **other**
13 **than a work permit, and an owner license for a gambling establishment if**
14 **the owner licensee has committed a separate violation from any violations**
15 **committed by the gambling establishment** shall be subject to a minimum
16 discipline of suspension for ~~seven~~ **five** days of normal scheduled work and a
17 maximum discipline of revocation, which may be stayed on terms and conditions
18 and any monetary penalty as described in section 12554(d)(7) of this chapter, if
19 the Commission finds that the holder has:

20 (1) Intentionally misrepresented a material fact on an application or
21 supplemental application for licensure or registration,

22 (2) Intentionally provided untruthful responses during an investigation by the
23 Division, pursuant to Business and Professions Code, section 19827,

24 (3) Willfully interfered with the performance of Commission or Division duties,
25 pursuant to Business and Professions Code, section 19944,

26 (4) Committed an act prohibited by Chapter 9 (commencing with section 319)
27 and Chapter 10 (commencing with section 330) of Title 9 of Part 1 of the
28 Penal Code, including but not limited to operation of a banked or
29 percentage game (Penal Code, section 330), possession or sale of a slot
30 machine (Penal Code, section 330b) or agreement for slot machine payout
31 (Penal Code, section 330.1), bookmaking (Penal Code, section 337), and
32 cheating (Penal Code, section 337x),

33 (5) Committed extortion (as that term is defined in Chapter 7 of Title 13 of Part
34 1 of the Penal Code, commencing with section 518),

35 (6) Committed loan-sharking (as that term is used in Civil Code section 1916-
36 3, subdivision (b)),

37 (7) Conducted or negotiated illegal sales of controlled substances (as that
38 term is used in Chapter 1 (commencing with Section 11000) of Division 10

1 of the Health and Safety Code) or dangerous drugs (as that term is used in
2 Business and Professions Code, section 4022),

3 (8) As an owner licensee, not taken reasonable steps to prevent the crimes
4 listed in subsections (b)(5) through (b)(8) from occurring at the gambling
5 establishment, when the owner licensee knew or should have known that
6 these crimes were being committed,

7 (9) Committed bribery (as that term is used in Penal Code section 67 or 67.5),

8 (10) Committed money laundering (as that term is used in Chapter 10 of
9 Title 7 of Part 1 of the Penal Code, commencing with Section 186.9),

10 (11) Been convicted of a crime involving fiscal dishonesty, including but not
11 limited to tax evasion (26 U.S.C. § 7201),

12 (12) Been convicted in any jurisdiction of any offense involving or relating to
13 gambling, where the penalty imposed was more than a monetary fine,
14 or

15 (13) ~~Been found to have violated or be in violation of any law involving~~
16 ~~or relating to gambling in a final administrative decision in any~~
17 ~~jurisdiction. Been found, by any administrative tribunal or court in a~~
18 ~~separate proceeding, to have violated or be in violation of any law~~
19 ~~involving or relating to gambling, where the penalty imposed was the~~
20 ~~suspension or revocation of a license or privilege,~~

21 (c) A state gambling license, finding of suitability, or approval granted by the
22 Commission, other than a work permit, and an owner license for a gambling
23 establishment if the owner licensee has committed a separate violation
24 from any violations committed by the gambling establishment shall be
25 subject to revocation by the Commission on any of the following grounds:

26 (1) If the Commission finds the holder to have been convicted of a felony or a
27 crime of moral turpitude that would disqualify the holder from licensure,

28 (2) If the Commission finds the holder to have engaged in or committed a
29 prohibited act specified in Business and Professions Code section 19863
30 (no more than one gambling establishment at racetrack),

31 (3) If the Commission finds the holder no longer meets any criterion for
32 eligibility, qualification, suitability or continued operation, including those
33 set forth in Business and Professions code sections 19857, 19858, or
34 19880, as applicable, or

35 (4) If the Commission finds the holder currently meets any of the criteria for
36 mandatory denial of an application set forth in Business and Professions
37 Code sections 19859 or 19860.

1 Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19853(a)(3), 19854, 19859, 19875,
2 19912, 19913, 19914, 19920, 19922, 19924, 19930, 19931 19971, and 19984 of the
3 Business and Professions Code.

4 Reference: Sections 19844, 19852, 19857, 19858, 19859, 19862, 19863, 19870, 19875, 19878, 19880,
5 19913, 19914, 19920, 19922, 19923, 19924, 19930, 19931, 19941 and 19942 of the
6 Business and Professions Code.

7
8 **12572. Precedential Decisions.**

9 Pursuant to Government Code section 11425.60, the Commission, at a noticed
10 Commission meeting, may:

11 (a) Designate all or part of any of the following as a precedential decision:

12 (1) An adopted final decision, or

13 (2) An adopted stipulated decision pursuant to a settlement agreement.

14 (b) Reverse in whole or in part the prior designation of a decision as a
15 precedential decision.

16
17 Authority: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19854, 19912, 19914, 19920, 19922,
18 19924, 19930, and 19971 of the Business and Professions Code.

19 Reference: Sections 19857, 19858, 19859, 19862, 19870, 19878, 19912, 19913, 19914, 19930, and
20 19931 of the Business and Professions Code. Section 11425.60 of the Government Code.

21
22
23 **Appendix A**



Summary Chart of Disciplinary Guidelines

This is a summary – please refer to the regulatory text for a fuller 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 1 2556. If not otherwise listed, penalties may be stayed on the imposition of terms, conditions, or fines at the Commission’s discretion, pursuant to regulation 1 2554, subsection (d).

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			Revocation	
	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	7 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	
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	7 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 Permittee	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)	5 days	Revocation	12568(c)(1), (3), (4)
Property Damage				
Tips	TPPPPS - Employee	\$100 and/or 3 days	Revocation	12560(c)(7)
	Gambling Business - Employee	\$100 and/or 3 days	Revocation	12562(c)(7)
Unauthorized				
	TPPPPS - Employee	\$100 and/or 3 days	Revocation	12560(c)(8)
	Gambling Business - Employee	\$100 and/or 3 days	Revocation	12562(c)(8)

Practice						
	TPPPS – Owner (12200)	5 Days		Revocation	12560(b)(22)	
	Gambling Business – Owner (12220)	\$2500 and/or 5 days		Revocation	12562(b)(13)	
	Gambling Establishment	1 day/stay @ 25% GGR; or 5 days		30 days/stay @ 25% GGR; or Revocation	12566(b)(3), stay 12566(b); 12566(c)(5)	
Violation of Gambling Control Act						
	Work Permittee - 19914	3 days		Revocation	12558(a)	
	Gambling Establishment – 19850, 19851, 19853, 19854, 19855, 19883, 19901 (ownership/key)	1 day/stay @ 25% GGR; or 5 days		30 days/stay @ 25% GGR; or Revocation	12566(b)(4), stay 12566(b); 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)	1 day/stay @ 25% GGR; or 5 days		30 days/stay @ 25% GGR; or Revocation	12566(b)(7), stay 12566(b); 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				
	TPPPS - Owner	7 days	Revocation	12560(b)(2)
	Gambling Business - Owner	\$2500 and/or 5 days	Revocation	12562(b)(2)
	Gambling Business - Employee	7 days	Revocation	
	Gambling Establishment	1 day/stay @ 25% GGR	30 days/stay @ 25% GGR	12566(b)(1); stay 12566(b)
	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				
	TPPPS - 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 Permittee	3 days	Revocation	12558(d)
	TPPPS – Owner (12200.7(b)(9), (11),	5 days	Revocation	12560(b)(7)-(12),

	(15), (18), (19), (21), (22), or (c), or 12200.9)			(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, 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 Permittee	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)	

Modification to Draft Dated October 3, 2006

Title 4. Business Regulations

Division 18. California Gambling Control Commission

Chapter 7. Conditions of Operation for Gambling Establishments

Article 6. Program for Responsible Gambling

Section 12460. Article Definitions

For purposes of this Article:

(a) "Self-Exclusion" means an irrevocable voluntary agreement to be excluded from gambling establishments and all games or gaming activities or privileges and to be prohibited from collecting any winnings or recovering any losses for a specified term. A Self-Exclusion list shall be maintained by the Division and shall not be open to public inspection.

(b) "Self-Restriction" means an irrevocable voluntary agreement for a specified term to:

- (1) Completely exclude from a particular gambling establishment and all games or gaming activities or privileges and to be prohibited from collecting any winnings or recovering any losses,
- (2) Exclude from the play of a particular game or gaming activity, if the gambling establishment determines that such segregation of games is feasible,
- (3) Restrict the amount of credit and/or check cashing that may occur at that particular gambling establishment, and/or
- (4) Exclude from any marketing or promotional activities of the particular gambling establishment.

Authority: Sections 19811, 19823, 19840, 19841(o), and 19920, Business and Professions Code

Reference: Section 19845, Business and Professions Code

12461. Posting Referral Information

(a) Each licensee, ~~within 120 days of the effective date of this regulation~~ by July 1, 2007, 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) If the licensee operates a web site for the gambling establishment, by July 1, 2007, that web site shall contain a responsible gambling message and a link to the Office of

Proposed Regulations for Program for Responsible Gambling

October Modification to Proposed Regulations shown in ~~strikeout~~/underline

November Modification to Proposed Regulations shown in ~~bold italic strikeout~~/bold italic underline

Page 1 of 5, Revision Date November 17, 2006.

1 Problem Gambling (or its successors) that provides information and referral services
2 for problem gamblers, currently "http://www.problemgambling.ca.gov".

- 3 (c) If the licensee produces any advertising material, by July 1, 2007, such material shall
4 contain a responsible gambling message and shall refer to the telephone number
5 listed in subsection (a) above and/or the link to the web site listed in subsection (b)
6 above.

7 Authority cited: Sections 19811, 19823, 19840, 19841(o), and 19920, Business and Professions Code.
8 Reference: Sections 19801 and 19920, Business and Professions Code. Sections 4359.2 and 4369.4,
9 Welfare and Institutions Code.
10

11 **12462. Training Requirements**

- 12 (a) Each licensee shall implement, ~~within 120 days of the effective date of this~~
13 ~~regulation~~ by July 1, 2007, procedures to conduct new employee orientations and
14 annual training for all employees, excluding food and beverage servers, who directly
15 interact with gambling patrons in gambling areas.
- 16 (b) New employee orientations and annual training shall be documented, including
17 signatures by the employee and the licensee or key employee who coordinated the
18 training, the date and length of the training, and the name of the trainer, as part of the
19 licensee's application for renewal. Copies of this documentation shall be kept in an
20 employee's personnel file for a minimum of five years.
- 21 (c) The training shall, at a minimum, consist of information concerning the nature and
22 symptoms of problem gambling behavior, assisting patrons in obtaining information
23 about problem gambling programs, and information on the self-restriction and self-
24 exclusion programs.
- 25 (d) Each licensee shall designate personnel responsible for maintaining the program and
26 addressing the types and frequency of such training and procedures.
- 27 (e) This section shall not be construed to require employees to identify problem
28 gamblers.

29 Authority cited: Sections 19811, 19823, 19840, 19841(o), and 19920, Business and Professions Code.
30 Reference: Sections 19801 and 19920, Business and Professions Code. Sections 4369.2 and 4369.4,
31 Welfare and Institutions Code.
32

33 **12463. Self-Restriction Program**

- 34 (a) Licensees shall implement, ~~within 120 days of the effective date of this regulation~~
35 ~~by July 1, 2007~~, a program that allows patrons to self-limit their access to the
36 gambling establishment entirely, or to the issuance of credit, check cashing, or
37 marketing by that licensee. Such program shall contain, at a minimum, the following:
- 38 (1) The development of written materials for dissemination to patrons explaining the
39 program;

- 1 (2) The development of written forms allowing patrons to participate in the program,
2 which may include use of a form entitled "Self-Restriction Form" CGCC-036 (New
3 0309-06), attached in Appendix A to this Chapter;
- 4 (3) Policies and procedures for maintaining and updating a list of self-restricted
5 persons, wherein the confidentiality of the list is protected pursuant to regulation
6 12466 and only agents or employees have access, unless needed by Division staff
7 or law enforcement pursuant to an investigation or in assisting in a Problem
8 Gambling program by an entity approved by the Commission;
- 9 (4) Policies and procedures that allow a patron to be excluded from certain games or
10 gaming activities within the gambling establishment, if the gambling establishment
11 determines that such segregation of games is feasible, or from the gambling
12 establishment completely during the term of exclusion, with the exception of
13 access for the sole purpose of carrying out the duties of employment, including:
- 14 (A) Removal procedures for patrons who attempt entry after requesting to be
15 excluded,
- 16 (B) Notification to the Division of any incidents of removals where the police
17 and/or security are called to remove a person from the premises, and
- 18 (C) Forfeiture of any money or prizes won or any losses recovered by an excluded
19 person and the remittance of such to the Office of Problem Gambling (or its
20 successors) for deposit into the Gambling Addiction Program Fund for problem
21 gambling prevention and treatment services through the Department of Alcohol
22 and Drug Programs, Office of Problem and Pathological Gambling;
- 23 (5) Policies and procedures that allow a patron to be excluded from access to check
24 cashing or the issuance of credit during the term of restriction;
- 25 (6) Policies and procedures that allow a patron to be excluded from customer lists
26 maintained by the licensee for direct mail marketing, telephone marketing, and
27 other direct marketing regarding gaming opportunities or promotions at the
28 gambling establishment during the term of restriction;
- 29 (7) Policies and procedures for removal of a patron from check-cashing, credit, or
30 marketing opportunities by the gambling establishment.
- 31 (b) This section does not mandate that a gambling establishment provide the services of
32 a notary public for persons who wish to complete the Self-Restriction form.

33 Authority cited: Sections 19811, 19823, 19840, 19841(o), and 19920, Business and Professions Code.
34 Reference: Sections 19801, ~~and 19920~~, and 19954, Business and Professions Code. Section 4369.4,
35 Welfare and Institutions Code.
36

37 **12464. Self-Exclusion Program.**

- 38 (a) Licensees shall implement, ~~within 120 days of the effective date of this~~
39 ~~regulation by July 1, 2007~~, a program that allows patrons to self-exclude
40 themselves from gambling establishments using a form entitled "Self-Exclusion

1 Form" CGCC-037 (New 0309-06), attached in Appendix A to this Chapter. Such
2 program shall contain, at a minimum, the following:

- 3 (1) Policies and procedures for providing Self-Exclusion forms and for sending any
4 completed Self-Exclusion forms to the Division;
- 5 (2) Policies and procedures for maintaining and updating a list of self-excluded
6 persons, wherein the confidentiality of the list is protected pursuant to
7 regulation 12466 and only agents or employees have access, unless needed
8 by Division staff or law enforcement pursuant to an investigation or in assisting
9 in a Problem Gambling program by an entity approved by the Commission;
- 10 (3) Policies and procedures ~~to ensure that designed to thwart~~ self-excluded
11 patrons, as noticed by the Commission or Division, ~~are not allowed on the~~
12 ~~premises from entering the gambling area~~ during the term of exclusion, with
13 the exception of access for the sole purpose of carrying out the duties of
14 employment, including removal procedures for patrons who attempt entry after
15 requesting to be excluded and notification to the Division of any incidents of
16 removals, where the police and/or security are called to remove a person
17 from the premises;
- 18 (4) Policies and procedures for the forfeiture of any money or prizes won or any
19 losses recovered by an excluded person and the remittance of such to the
20 ~~Office of Problem Gambling (or its successors); for deposit into the Gambling~~
21 ~~Addiction Program Fund for problem gambling prevention and treatment~~
22 ~~services through the Department of Alcohol and Drug Programs, Office of~~
23 ~~Problem and Pathological Gambling;~~
- 24 (5) Policies and procedures for removal of a patron from customer lists maintained
25 by the licensee for direct mail marketing, telephone marketing, and other direct
26 marketing regarding gaming opportunities or promotions at the gambling
27 establishment;
- 28 (6) Policies and procedures for removal of a patron from check-cashing, credit, or
29 marketing opportunities by the gambling establishment.

30 (b) This section does not mandate that a gambling establishment provide the services
31 of a notary public for persons who wish to complete the Self-Exclusion form.

32 Authority cited: Sections 19811, 19823, 19840, 19841(o), and 19920, Business and Professions Code.

33 Reference: Sections 19801, ~~and 19920, and 19954,~~ Business and Professions Code. Section 4369.4,
34 Welfare and Institutions Code.
35

36 **12466. Responsible Gambling Program Review**

- 37 (a) The Executive Director or Division staff may require that any licensee make available
38 for review or submit any of the elements of its program described in this Article, to the
39 Executive Director or Division staff for review. If the Commission makes an
40 administrative determination that the licensee's program does not adequately address
41 the standards as set forth in this Article, then the Executive Director may issue such a
42 determination identifying the deficiencies and specifying a time certain within which

Proposed Regulations for Program for Responsible Gambling

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November Modification to Proposed Regulations shown in ~~bold italic strikeout~~/bold italic underline

1 those deficiencies shall be cured. Judicial review of the Executive Director's decision
2 is subject to the limitation of Business and Professions Code Section 19804.

3 (b) Failure by a licensee to establish the programs set forth in this Article, or to cure a
4 deficiency identified pursuant to subsection (a), constitutes an unsuitable method of
5 operation and is in violation of this section.

6 **(c) Protecting the confidentiality of self-restriction or self-exclusion lists includes:**

7 **(1) Not willfully disseminating self-excluded or self-restricted patrons' names,**
8 **photos, or other personally identifying information to third parties or**
9 **confirming to third parties whether or not a patron is on a self-exclusion or**
10 **self-restriction list.**

11 **(2) Not posting self-excluded or self-restricted patron photos or other**
12 **personally identifying information in areas where other patrons would**
13 **readily notice the information.**

14 ~~(e)~~(d) In addition to any other remedy under the Gambling Control Act, the Commission
15 may assess a monetary penalty not exceeding \$1,000 for each violation of this
16 **sectionArticle.**

17 ~~(d)~~(e) This **sectionArticle** does not create any right or cause of action on behalf of an
18 individual who participates in self-restriction or self-exclusion under this Article against
19 the state of California, the California Gambling Control Commission, the Division of
20 Gambling Control, the Office of Problem Gambling, or ~~a~~ **any** gambling establishment.

21 Authority cited: Sections 19811, 19823, 19840, 19841(o), and 19920, Business and Professions Code.
22 Reference: Sections 19801 and 19920, Business and Professions Code. Section 4369.4, Welfare and
23 Institutions Code.
24

25 **Appendix A**
26



SELF-RESTRICTION FORM

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 (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: RESTRICTION FOR _____ (Name of Cardroom or participating gambling facility)

TOTAL EXCLUSION: Initial Appropriate Term: One Year _____ Five Years _____ Lifetime _____

Please delete me from any MARKETING or PROMOTIONAL information:

Please exclude me from this GAME or GAMING ACTIVITY _____

Please restrict me from any CHECK-CASHING privileges: Or Limit as follows: _____

Please restrict me from any CREDIT : Or Limit as follows: _____

SECTION 3: PHOTO AND VISUAL DESCRIPTION

Gender: Male Female Date of Birth: _____ / _____ / _____ Race/Ethnicity: _____

Height: _____ Weight: _____ Hair Color/Type: _____ Eye Color: _____

Date of Photograph: _____ / _____ / _____ CA Drivers License: _____

Distinguishing marks (such as visible scars or tattoos – describe mark & location):

Type of vehicle normally driven: _____ License Plate: _____

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 from _____ (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 exclude or restrict myself as indicated in Section 2.

If I choose Total Exclusion:

(Initial Here)

I agree that I will not attempt to enter and/or use any of the services or privileges of a California 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 a California Gambling Establishment or participating gambling facility or use the services of a Gambling Establishment or participating gambling facility during the Term of Exclusion, once identified, I shall be escorted from the Gambling Establishment or participating gambling facility and any winnings or prizes I may have accrued or losses recovered will be confiscated and remitted by the Gambling Establishment or participating gambling facility to the Office of Problem Gambling for deposit into the Gambling Addiction Program Fund for problem gambling prevention and treatment services through the Department of Alcohol and Drug Programs, Office of Problem and Pathological Gambling.

(Initial Here)

This self-exclusion request is **irrevocable** during the time period checked in Section 2.

I understand that disclosure of certain information is necessary to effect my request for self-exclusion or 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 Establishment or participating gambling facility liable in any way should I enter a Gambling Establishment or participating gambling facility and/or use any of the services or privileges therein despite this exclusion/restriction request, and I agree to indemnify the State of California, the California Gambling Control Commission, the Division 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 Division of Gambling Control, the Office of Problem Gambling, the Gambling Establishment, participating gambling facility, their agents, employees, officers, and Directors and those with whom they may lawfully share information regarding this exclusion or 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 all of the Released Parties arising out of, or by reason of, the performance or non-performance of this self-exclusion/restriction request, or any matter relating thereto. I further agree, in consideration for the Released Parties' efforts to implement my exclusion or restriction, to indemnify and hold harmless the Released Parties to 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/restriction requested herein.

I declare that all information submitted on or with this self-restriction form is true, correct, and complete.

Signature: _____

Print Name: _____

Date: _____ / _____ / _____

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 _____
My Commission expires on: _____ / _____ / _____

OR

WITNESS BY KEY EMPLOYEE

As a Key Employee of _____, 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 _____



State of California
California Gambling Control Commission
 CGCC – 037 (New 0309-06)

State of California Use Only	
Date Received:	_____
Data Input Date:	_____
Date to CGCC:	_____

SELF-EXCLUSION FORM

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.

You may hand this completed form in to any Cardroom or participating gambling facility, to the Division of Gambling Control, or the California Gambling Control Commission. Or you may mail this completed form to: **Division of Gambling Control, P.O. Box 168024, Sacramento, CA 95816.**

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: TERM OF EXCLUSION

Please Initial Appropriate Term: One Year _____ Five Years _____ Lifetime _____

SECTION 3: PHOTO AND VISUAL DESCRIPTION

Gender: Male Female Date of Birth: / / Race/Ethnicity:

Height: Weight: Hair Color/Type: Eye Color:

Date of Photograph: / / CA Drivers License:

Distinguishing marks (such as visible scars or tattoos – describe mark & location):

Type of vehicle normally driven: License Plate:

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 from _____
(Language)

I voluntarily seek to exclude myself as described checked in Section 2.

(Initial Here) I agree that I will not attempt to enter and/or use any of the services or privileges of a California 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 a California Gambling Establishment or participating gambling facility or use the services of a Gambling Establishment or participating gambling facility during the Term of Exclusion, once identified, I shall be escorted from the Gambling Establishment or participating gambling facility and any winnings or prizes I may have accrued or losses recovered will be confiscated and remitted by the Gambling Establishment or participating gambling facility to the for deposit into the Gambling Addiction Program Fund for problem gambling prevention and treatment services through the Department of Alcohol and Drug Programs, Office of Problem and Pathological Gambling ~~Office of Problem Gambling.~~

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.

(Initial Here) This self-exclusion request is **irrevocable** during the time period checked in Section 2.

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.

I will not seek to hold the Gambling Establishment or participating gambling facility liable in any way should I enter a Gambling Establishment or participating gambling facility and/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 Division 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 Division of Gambling Control, the Office of Problem Gambling, the Gambling Establishment 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 all 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 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: _____

Print Name: _____

Date: _____ / _____ / _____

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 _____ 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 _____