

CALIFORNIA CODE OF REGULATIONS
TITLE 11. LAW
DIVISION 3. GAMBLING CONTROL
CHAPTER 1. THE BUREAU OF GAMBLING CONTROL

Article 4. Licensure Qualifications and Requirements

Section 2037. Schedule of Investigation and Processing Costs

- (a) ~~An~~ Each applicant shall submit a deposit in accordance with Business and Professions Code sections 19826, 19867 and 19984, and Title 4, CCR, Chapters 2.1 (commencing with section 12200) and 2.2 (commencing with section 12220), in addition to the application fee required under Business and Professions Code section 19951(a), before the Bureau initiates any background investigation or review related to a license, a finding of suitability, or an approval. The 1999 Tribal-State Gaming Compact and comparable provisions of the new and amended compacts (collectively referred to as “Compacts”) also require applicants for a finding of suitability to submit an application and any deposits required to complete an investigation. During the investigation or review, the Chief may require an applicant to deposit any additional sums as are required to pay all costs and charges of the investigation or review. Additional deposits are due to the Bureau within fifteen (15) days from the date of the request for the required deposit. All costs and charges of the investigation or review must be paid before the Bureau may approve a contract, game, or gaming activity, or submit its report, or make a recommendation to the California Gambling Control Commission. The investigation or review concludes upon the California Gambling Control Commission’s approval or denial of the application or the granting of a request to withdraw the application. For contracts, games, or gaming activities, the review concludes upon the Bureau’s approval or denial of the application, or upon a ~~the~~ request to withdraw the application. At the conclusion of the investigation or review the Bureau shall provide the applicant with an itemized accounting of the costs incurred and shall cause a ~~refund to be made of~~ any unused portion of the deposit.
- (1) The Bureau’s schedule of deposits for investigation and processing costs under Business and Professions Code sections 19826 and 19867 shall be as follows:
- (A) ~~An~~ Each applicant, (~~Sole Proprietor, Corporation, Partnership, Shareholder, Partner, etc.~~); other than a trust, for an initial State Gambling License, shall submit a deposit in the amount of ~~\$5,000~~ \$6,600;
- (B) ~~An~~ Each applicant for an initial State Gambling License that is a trust shall submit a deposit in the amount of ~~\$900~~ \$1,100;
- (C) ~~An~~ Each applicant for an initial State Gambling License as an uninvolved spouse with community property interest shall submit a deposit in the amount of ~~\$750~~ \$1,500;
- (D) ~~An~~ Each applicant for an initial Key Employee License shall submit a deposit in the amount of ~~\$1,200~~ \$2,400;
- (E) The Gambling Enterprise shall submit a deposit in the amount of \$1,600 for renewal of a State Gambling License;

- (~~E~~ F) An applicant (~~Sole Proprietor, Corporation, Partnership, Shareholder, Partner etc.~~), other than a Trust, for a Renewal of a State Gambling License, shall submit a deposit in the amount of ~~\$600~~ \$725, if notified by the Bureau that an investigation is needed;
- (~~F~~ G) An applicant for a Renewal of a State Gambling License as an uninvolved spouse with community property interest shall submit a deposit in the amount of \$ 200, if notified by the Bureau that an investigation is needed;
- (~~G~~ H) An applicant for a Renewal of a Key Employee License shall submit a deposit in the amount of \$ 200, if notified by the Bureau that an investigation is needed;
- (~~H~~ I) ~~If after a review it is determined that further investigation is needed, An applicant for a Renewal of a State Gambling License for a Trust shall submit~~ a deposit in the amount of \$ 200 ~~shall be required for the review of an application for a Renewal of a State Gambling License for a Trust, if notified by the Bureau that an investigation is needed~~;
- (J) An owner licensee requesting approval for a change in location of a Gambling Establishment shall submit a deposit in the amount of \$600;
- (~~I~~ K) An application for a Game or Gaming Activity review shall be accompanied by a deposit in the amount of ~~\$345~~ \$550; ~~and~~
- (~~J~~ L) ~~If after a review it is determined that further investigation is needed, An application to request an amendment or changes to an approved Game or Gaming Activity shall be accompanied by~~ a deposit in the amount of ~~\$252~~ \$450 ~~shall be required to review an amendment or change to any Bureau approved game or gaming activity~~;
- (M) An application to operate additional tables on a temporary basis shall be accompanied by a deposit in the amount of \$400; and,
- (N) An application for additional permanent tables shall be accompanied by a deposit in the amount of \$400.
- (2) The Bureau's schedule of deposits for investigation and processing costs under Business and Professions Code sections 19867 and 19984, and Title 4, CCR, Chapters 2.1 and 2.2, shall be as follows:
 - (A) An application for Proposition Player Contract approval, expedited contract approval, or contract continuation approval, shall be accompanied by a deposit in the amount of ~~\$600~~ \$750;
 - (B) An application for Proposition Player Contract Amendment approval shall be accompanied by a deposit in the amount of ~~\$450.~~ \$525;
 - (C) A supplemental information package (Title 4, CCR, §§ 12200 and 12220) to convert a registration to a license for an owner that is an individual or sole proprietorship shall be accompanied by a deposit in the amount of \$6,000;

- (~~C~~D) A ~~completed~~ supplemental information package ~~as defined in Title 4, CCR, Chapters 2.1 and 2.2~~ (Title 4, CCR, §§ 12200 and 12220) to convert a registration to a license for ~~Primary Owner or Owner~~ an owner that is a corporation, partnership, limited partnership, limited liability company, joint venture, or any other business organization, except a sole proprietorship or trust, shall be accompanied by a deposit in the amount of ~~\$5,000~~ \$11,500;
- ~~(D) — A completed supplemental information package as defined in Title 4, CCR, Chapters 2.1 and 2.2 for a Supervisor shall be accompanied by a deposit in the amount of \$1,200;~~
- (E) ~~A request for an expedited review of a Proposition Player Contract shall be accompanied by a deposit in the amount of \$360~~ A supplemental information package (Title 4, CCR, §§ 12200 and 12220) to convert a registration to a license for an owner that is a trust, shall be accompanied by a deposit in the amount of \$2,500;
- (F) A supplemental information package (Title 4, CCR, §§ 12200 and 12220) to convert a registration to a license for a Supervisor, shall be accompanied by a deposit in the amount of \$2,500;
- (~~F~~ G) If after a review of the supplemental information package ~~as defined in Title 4, CCR, Chapters 2.1 and 2.2 of~~ (Title 4, CCR, §§ 12200 and 12220) to convert a registration to a license for a Player or Other Employee it is determined that further investigation is needed, a deposit in the amount of \$315 shall be required.;
- (H) An application for renewal of a license for an owner that is a corporation, partnership, limited partnership, limited liability company, joint venture, sole proprietorship or any other business organization, except a trust, shall be accompanied by a deposit in the amount of \$2,000;
- (I) An applicant for renewal of a license for an owner that is an individual or a trust shall submit a deposit in the amount of \$800, if notified by the Bureau that an investigation is needed; and,
- (J) An applicant for renewal of a license for a supervisor shall submit a deposit in the amount of \$450, if notified by the Bureau that an investigation is needed.
- (3) The Bureau's schedule of deposits for investigation and processing costs under Business and Professions Code section 19826 and section 6.5.6 of the Compacts shall be as follows:
 - (A) An application for the primary owner or business entity for an initial Finding of Suitability as a Gaming Resource Supplier, Financial Source Management Contractor conducting business with a Tribal Gaming Operation or Gaming Facility shall be accompanied by a deposit in the amount of \$20,000;
 - (B) An application (other than the primary owner or business entity) for an initial Finding of Suitability as a Gaming Resource Supplier, Financial Source or

Management Contractor conducting business with a Tribal Gaming Operation or Gaming Facility shall be accompanied by a deposit in the amount of \$6,600;

(C) An application for the primary owner or business entity for a renewal of a Finding of Suitability as a Gaming Resource Supplier, Financial Source or Management Contractor shall be accompanied by a deposit in the amount of \$2,000; and

(D) An applicant (other than the primary owner or business entity) for the Renewal of a Finding of Suitability as a Gaming Resource Supplier, Financial Source or Management Contractor shall submit a deposit in the amount of \$725, if notified by the Bureau that an investigation is needed.

(b) Upon a determination that a background investigation is of such complexity that the engagement of external specialized resources is warranted, an applicant may be subject to additional deposit requirements. The specific amount of the deposit shall be determined by the Bureau upon initial review of the completed supplemental information package, and will be based upon the estimated scope and nature of the investigative function that must be performed by the Bureau and the required external resources. The additional deposit shall be between \$20,000 and \$200,000. If further investigation is needed after the additional deposit is expended, an applicant may be required to submit subsequent deposits in amounts necessary to complete the investigation, upon notification by the Bureau.

Note: Authority cited: Sections 19824, 19826, 19867, and 19984, Business and Professions Code.

Reference: Sections 19805(b), (i) and (j), 19827, 19830, 19853(b), 19867, 19950(b), 19951, and 19984, Business and Professions Code.