

NOTICE PUBLICATION/REGULATORY ACTION SUBMISSION

(See instructions on reverse)

For use by Secretary of State only

STD. 400 (REV. 01-2013)

OAL FILE NUMBERS	NOTICE FILE NUMBER Z-	REGULATORY ACTION NUMBER 2017-1130-01N	EMERGENCY NUMBER
For use by Office of Administrative Law (OAL) only			
NOTICE		REGULATIONS	

ENDORSED - FILED
in the office of the Secretary of State
of the State of California

JAN 16 2018

2:00 pm

AGENCY WITH RULEMAKING AUTHORITY
Department of Justice

AGENCY FILE NUMBER (if any)
DOJ-17-015

A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)

1. SUBJECT OF NOTICE		TITLE(S)	FIRST SECTION AFFECTED	2. REQUESTED PUBLICATION DATE
3. NOTICE TYPE <input type="checkbox"/> Notice re Proposed Regulatory Action <input type="checkbox"/> Other		4. AGENCY CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER (Optional)
OAL USE ONLY	ACTION ON PROPOSED NOTICE <input type="checkbox"/> Approved as Submitted <input type="checkbox"/> Approved as Modified <input type="checkbox"/> Disapproved/Withdrawn		NOTICE REGISTER NUMBER	PUBLICATION DATE

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) Update of Forms		1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S)	
2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)			
SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)		ADOPT	
TITLE(S) 11		AMEND Sections 2084, 2086, 2088, 2089, 2090, 2091, 2092, 2095, 2096, 2107, and 2109 <i>per agency request</i>	
		REPEAL	
3. TYPE OF FILING			
<input type="checkbox"/> Regular Rulemaking (Gov. Code §11346) <input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4) <input type="checkbox"/> Emergency (Gov. Code, §11346.1(b)) <input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute. <input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1) <input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h)) <input type="checkbox"/> File & Print <input type="checkbox"/> Other (Specify) _____ <input checked="" type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100) <input type="checkbox"/> Print Only			
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1)			
5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100)			
<input type="checkbox"/> Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a)) <input type="checkbox"/> Effective on filing with Secretary of State <input checked="" type="checkbox"/> §100 Changes Without Regulatory Effect <input type="checkbox"/> Effective other (Specify) _____			
6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY			
<input type="checkbox"/> Department of Finance (Form STD. 399) (SAM §6660) <input type="checkbox"/> Fair Political Practices Commission <input type="checkbox"/> State Fire Marshal <input type="checkbox"/> Other (Specify) _____			
7. CONTACT PERSON Melan Noble		TELEPHONE NUMBER (916) 210-7011	FAX NUMBER (Optional) E-MAIL ADDRESS (Optional) Melan.Noble@doj.ca.gov

8. I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE

DATE

TYPED NAME AND TITLE OF SIGNATORY

Sean McCluskie, Chief Deputy to the Attorney General

For use by Office of Administrative Law (OAL) only

ENDORSED APPROVED

JAN 16 2018

Office of Administrative Law

TITLE 11, DIVISION 3, CHAPTER 1

Article 8. Update of Forms

Section 100. CHANGES WITHOUT REGULATORY EFFECT

Pursuant to Title 1, Division 1, Chapter 1, Article 2, Section 100(b)(3), of the California Code of Regulations (CCR), the California Department of Justice, Division of Law Enforcement, Bureau of Gambling Control (Bureau) hereby submits this written statement explaining why the proposed changes to CCR Title 11, Division 3, Chapter 1, Article 8, sections 2084, 2086, 2088, 2089, 2090, 2091, 2092, 2095, 2096, 2107, and 2019, have no regulatory effect.

Changes to Text

In each regulatory section incorporating forms amended to this Section 100 action, revision dates have been updated given non-substantive changes to the forms, described below.

Changes to forms incorporated by reference

Update of application revision dates

All revision dates of forms in this Section 100 (reflecting the changes described below) are updated on the form itself and in references within other forms, if applicable.

Update of the Bureau's phone number

Effective July 5, 2017, the Bureau moved to a new address and received a new contact phone number. All references or instructions regarding the Bureau's phone number have been changed to the new phone number.

These changes do not materially alter any existing requirements for applicants or those submitted the required forms. The changes are necessary to ensure that forms include updated information where constituents are able to reach the Bureau in the event they need assistance.

Deletion of Bureau fax number

The fax number for the Bureau has been deleted from applications as applicable because it is unnecessary. No forms for this program have been received via fax. The proposed change concerning the removal of the fax number does not alter any of the Bureau's existing practices or the rights of applicants with respect to the application process.

For those forms that require a fee, because the Bureau does not have the capability or systems to process payments via fax or electronically, the following four forms may only be submitted in hardcopy, either in person, via mail or express delivery and will only be processed when submitted with required fees:

- Major League Sports Raffle Eligible Organization Registration Form (BGC 200)
- Major League Sports Raffle Manufacturer and Distributor of Products or Services Annual Registration Form (BGC 201)

Title 11, Division 3, Chapter 1

Article 8. Update of Forms

Section 100. Changes Without Regulatory Effect

- Major League Sports Raffle Manual Draw Supervisor Annual Registration Form (BGC 202)
- Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 204)

The three remaining forms required as part regulations for the Major League Sports Raffle Program do not require a fax number because 1. There are no fees associated or required for the use or submission of the form(s); 2. Those which require submission to the Bureau (BGC 203 and BGC 205) have not been received via fax during the program's history of operation; 3. Those which require submission to the Bureau (BGC 203 and BGC 205) have occasionally been submitted to the Bureau's e-mail address that is included in the instruction and not via fax; and, 4. The remaining form (BGC 206) is completed and maintained by the eligible organization and not submitted to the Bureau:

- Major League Sports Raffle Eligible Organization Annual Report (BGC 203)
- Major League Sports Raffle Eligible Organization – Equipment Registration Form (BGC 205)
- Major League Sports Raffle Electronic Raffle System and Equipment Checklist and Test Draw (BGC 206)

To reiterate, no forms for this program have been received via fax. Those forms which require a fee in order for the form to be processed for registration cannot be received via fax as the Bureau does not have the capability or systems to receive payments via fax or electronically.

In conclusion, the above changes are nonsubstantive and conforming. They have no regulatory effect, as they do not materially alter any requirement, right, responsibility, condition, prescription, or other regulatory element of any CCR provision.

TITLE 11, DIVISION 3, CHAPTER 1
Article 8. Major League Sports Raffle Program

SECTION 2084 Forms

The following forms are hereby incorporated by reference:

- (a) Major League Sports Raffle Eligible Organization Registration Form (BGC 200; Rev. 10/2017 08/2016)
- (b) Major League Sports Raffle Manufacturer and Distributor of Products or Services Annual Registration Form (BGC 201; Rev. 10/2017 02/2017)
- (c) Major League Sports Raffle Manual Draw Supervisor Annual Registration Form (BGC 202; Rev. 10/2017 02/2017)
- (d) Major League Sports Raffle Eligible Organization Annual Report (BGC 203; Rev. 10/2017 02/2017)
- (e) Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 204; Rev. 10/2017 02/2017)
- (f) Major League Sports Raffle Eligible Organization – Equipment Registration Form (BGC 205; Rev. 10/2017 02/2017)
- (g) Major League Sports Raffle Electronic Raffle System and Equipment Checklist and Test Draw (BGC 206; Rev. 10/2017 02/2017).

Note: Authority Cited: Section 320.6, subdivisions (c) and (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2086 Eligible Organization Registration

- (a) The Bureau may issue a Major League Sports Raffle registration to an eligible organization.
- (b) Every eligible organization shall, prior to conducting any raffle in California, annually register with the Bureau in the Major League Sports Raffle Program.
- (c) To apply for annual registration, an eligible organization must:
 - (1) Submit to the Bureau a completed application Major League Sports Raffle Eligible Organization Registration Form (BGC 200; Rev. 10/2017 08/2016); and
 - (2) Remit a non-refundable registration fee of \$5,000.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2088 Fiduciary of Eligible Organization – Duties

Every fiduciary designated on the Major League Sports Raffle Eligible Organization Registration Form (BGC 200; Rev. 10/2017 08/2016) shall be responsible for all of the following:

- (a) Ensuring that there is full accountability of all raffle assets including, but not limited to:
 - (1) All raffle-related products and supplies;
 - (2) All funds derived from the registered event; and
 - (3) The distribution of all funds derived from the registered event;

- (b) Ensuring that the registered event is conducted in accordance with raffle rules established for the conduct of the raffle, this article, Penal Code section 320.6, and any other applicable federal or state laws;
- (c) Ensuring that all records related to the registered event are current and accurate;
- (d) Reviewing all reports and correspondence from and to the Bureau;
- (e) Signing, and ensuring that, the financial statements from the registered event are maintained by the eligible organization and submitted to the Bureau, if requested;
- (f) Responding in writing to violation notices;
- (g) Ensuring that all affiliated persons are trained to fully carry out the duties assigned to them and can proficiently operate any equipment necessary for the conduct of their duties; and, are fully informed of all pertinent statutes and regulations associated with the Major League Sports Raffle Program;
- (h) Ensuring that the electronic raffle system and all other equipment used to conduct a registered event is properly maintained and functions properly during a registered event, and complies in all other respects with the requirements of this article;
- (i) Ensuring that the manual draw is conducted in compliance with the requirements of this article;
- (j) Designating himself or herself, or another affiliated person, as a manual draw supervisor;
- (k) Ensuring that prior to the manual draw, the gross receipts are tallied and the prize amount is announced; and
- (l) Ensuring that a registered event is conducted by the eligible organization in the best interests of the public's health, safety, and general welfare.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2089 Raffle Registration; Registered Event

- (a) In conjunction with its annual registration, an eligible organization must apply for registration of each and every registered event it plans to conduct.
- (b) The Bureau may issue a registration for a single registered event or for multiple registered events, so long as each of the registered events will take place on a definite schedule during the calendar year of the eligible organization's registration.
- (c) No more than one raffle drawing shall be conducted during a registered event.
- (d) To register the raffle as a registered event, a eligible organization must:
 - (1) Submit a completed Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 204; Rev. 10/2017 02/2017), to the Bureau; and
 - (2) Remit the required non-refundable fee of \$100 per registered event.
- (e) Every eligible organization must also submit a map of the event location, identifying any family section; the locations where direct sellers will be conducting sales at the registered event; the locations of affiliated person-attended kiosks; the location where count and reconciliation functions will be performed; the location where raffle system management functions will be performed; and the location where the manual draw will be conducted.
- (f) The Bureau shall not register a raffle scheduled to encompass more than one calendar day.
- (g) An eligible organization shall submit any amendment(s) to form BGC 204 changing the name of the eligible recipient organization required to be designated as provided by Penal Code section 320.6, subdivision (l) no later than fourteen calendar days before the registered event.

Note: Authority cited: Section 320.6, subdivisions (l) and (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2090 Raffle Registration; Registered Event; Post-Season Play

Every eligible organization must register every raffle it plans to conduct for post-season home games at least 24 hours prior to holding the raffle. To register a raffle to be conducted during post-season home games, an eligible organization must:

- (a) Submit a completed Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 204; Rev. 10/2017 02/2017) to the Bureau; and
- (b) Remit the required non-refundable fee of \$100 per registered event.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2091 Equipment Registration

- (a) Every eligible organization must annually register with the Bureau any equipment to be used in the sale and distribution of raffle tickets by submitting a completed Major League Sports Raffle Eligible Organization – Equipment Registration Form (BGC 205; Rev. 10/2017 02/2017).
- (b) Every eligible organization must attach a certificate of testing issued, within the last twelve months, by an independent gaming test laboratory to the form required by subdivision (a) of this section.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2092 Manual Draw Supervisor Registration

- (a) Every manual draw supervisor must register annually with the Bureau. To apply for this registration an applicant must:
 - (1) Be at least 18 years of age;
 - (2) Be an affiliated person;
 - (3) Submit a completed Major League Sports Raffle Manual Draw Supervisor Annual Registration Form (BGC 202; Rev. 10/2017 02/2017); and
 - (4) Remit the required non-refundable fee of \$10.
- (b) Nothing in this section precludes an eligible organization from having other eligibility requirements in place for a manual draw supervisor.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2095 Manufacturers and Distributors of Raffle-Related Products or Services; Registration

- (a) No person may sell, rent, or distribute raffle-related products or services to an eligible organization for a registered event without having first been registered by the Bureau for the calendar year in which the registered event is conducted.
- (b) To apply for an annual registration, a manufacturer or distributor of raffle-related products must:
 - (1) Submit to the Bureau a completed Major League Sports Raffle Manufacturer and Distributor of Products or Services Annual Registration Form (BGC 201; Rev. 10/2017 02/2017); and
 - (2) Remit a non-refundable registration fee of \$5,000.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2096 Registered Event; Ticket Sales

- (a) No more than one raffle drawing shall be conducted during a registered event.

- (b) Raffle ticket sales may take place only during a home game.
- (c) Raffle tickets shall not be sold in any seating area designated as a family section.
- (d) Raffle tickets shall be sold only in areas where an event ticket is required for admission to view the game or sporting event.
- (e) Raffle tickets produced by an electronic raffle system must be printed only when sold to a raffle player. Preprinting electronic tickets is prohibited.
- (f) Raffle tickets may not be sold in advance of the registered event.
- (g) An eligible organization shall not change raffle ticket prices once sales of raffle tickets in a registered event have commenced. An eligible organization may, at its discretion, sell raffle tickets with price points allowing for the purchase of multiple raffle tickets at a discounted rate. An accounting must be documented for each price point at the point of sale for purposes of reporting.
- (h) All raffle ticket draw numbers must be unique and cannot be duplicated in the registered event.
- (i) Each raffle ticket number purchased shall represent one entry in the drawing for a winner. The equipment used to conduct raffles and the method of play shall ensure that each and every raffle ticket sold shall have an equal opportunity to be drawn as a winner.
- (j) All counterfoils generated at a registered event shall be placed in the pool of counterfoils from which only one counterfoil must be drawn to determine the winner of the raffle prize.
- (k) The sale of raffle tickets at a registered event, whether an admission-style or electronically generated ticket or the use of a manned kiosk, must be conducted by an affiliated person.
- (l) A raffle player may purchase one or more raffle tickets at a registered event.
- (m) United States currency or a valid credit or debit card may be accepted by an eligible organization as payment for any raffle ticket. An electronic benefit card or funds issued by the federal government, or any state or local government, for the delivery of public assistance to a person shall not be used or accepted for the purchase of any raffle ticket.
- (n) A raffle ticket is not transferrable or assignable from its purchaser to any other person.
- (o) All sales of raffle tickets are final; no refunds shall be made under any circumstance.
- (p) No person employed by or affiliated with the eligible organization, affiliated sports team or affiliated association holding the registered event, or the eligible recipient organization benefitting from the registered event, or the a registered manufacturer and distributor of raffle-related products or services whose products or services are used during the registered event, may participate in any registered event as a raffle player or receive a raffle prize.
- (q) Every registered event shall commence no earlier than when ticket holders for the live event are permitted entrance to a home game and shall conclude with the announcement of the winning draw number prior to completion of the home game registered event where the corresponding raffle tickets are. If for some unforeseen reason (e.g., weather delay, power outage, emergency, or other reasonably unforeseen event) the registered event is not completed on the calendar day the registered event's raffles tickets are sold, the selection of the winning raffle ticket from that registered event must be completed the first business day when normal operations resume, and notice of the winning draw number must be posted to the eligible organization's webpage.
- (r) An eligible organization must have the fiduciary of the organization as listed on its registration application to the Bureau on site or designate one affiliated person within its organization to oversee a registered event.
- (s) An eligible organization must have on site prior to, throughout, and to the conclusion of a registered event, a sufficient number of trained affiliated persons to competently fulfill the functions of raffle ticket sales, count and reconciliation, and raffle system management. The number of supervisory or management staff must be sufficient to support the direct raffle ticket sellers and they must have a level of expertise and requisite training to operate the raffle sales unit and electronic raffle system.
- (t) Reconciliation of monetary transactions and reconciliation of raffle ticket transactions must be conducted in a secure location.
- (u) No revenues generated from the sale of raffle tickets may be used to defray costs incurred by the eligible organization for the conduct of the raffle.

- (v) The total prize amount of a raffle shall be one-half or 50 percent of the gross proceeds collected from the sale of the raffle tickets.
- (w) All proceeds collected from the sale of raffle tickets that are not distributed as a prize shall be used to benefit the organization named on the Major League Sports Raffle Eligible Organization Registered Event Registration Form submitted to the Bureau.
- (x) Every eligible organization's raffle rules must state when the manual draw will take place.
- (y) Every eligible organization's raffle rules, and each individual raffle ticket, must provide the name and phone number of the individual in charge of the registered event. Each raffle ticket must provide a raffle player a method for verifying whether he or she is entitled to the prize.
- (z) Every eligible organization must establish and publish the duration of time during which raffle tickets will be sold for each registered event, and provide its affiliated persons sufficient time to ensure that all sales reconciliation, eligible counterfoil verification, and winning counterfoil and raffle ticket verification procedures can be conducted following the manual draw.
- (aa) Every eligible organization shall ensure that direct sellers do not carry more than \$1000 in cash from the sale of raffle tickets in areas where raffle tickets are authorized to be sold by this article.
- (ab) Prior to the sale of any raffle tickets at a registered event, the eligible organization shall ensure that there are security measures in place to protect the health, safety, and welfare of all raffle players and affiliated persons. An eligible organization shall ensure security of the following areas: (1) where raffle ticket sales are conducted; (2) routes to and from the raffle ticket sales area to the raffle ticket reconciliation room and the room where raffle ticket sales moneys are accumulated; (3) where electronic raffle system management functions and distribution of raffle sales units to direct sellers occurs; and (4) the location where counterfoil tickets are printed and deposited into the container for the manual draw.
- (ac) Prior to the sale of any raffle ticket at a registered event, the eligible organization is responsible for ensuring that every affiliated person participating in the registered event possesses the training, knowledge, and experience necessary to carry out their assigned duties for the registered event.
- (ad) An eligible organization, an affiliated person, and any other person or entity required to be registered by this article must notify the Bureau immediately about any conduct, activity, or incident that may be contrary to Penal Code section 320.6, or this article, or that may affect the integrity of any registered event. Reports required by this subdivision can be made by e-mail to the Bureau of Gambling Control Criminal Intelligence Unit at BGCCIU@doj.ca.gov or by phone at (916) 830-1700 227-3325.

Note: Authority cited: Section 320.6, subdivisions (d), (e), (f), (j), (k), and (l), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2107 Eligible Organization – Annual Financial Report

Once registered, every eligible organization shall file annually thereafter with the Bureau a completed Major League Sports Raffle Eligible Organization Annual Report (BGC 203; Rev. 10/2017 02/2017) documenting the information required by Penal Code section 320.6, subdivision (o)(12)(A). The reports required by this section shall be available to the public via the online search portal of the Attorney General's Registry of Charitable Trusts maintained pursuant to Government Code section 12584.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

SECTION 2109 Proper Functioning of Raffle Equipment

- (a) Prior to each registered event, the fiduciary or an affiliated person designated by the fiduciary, shall ensure that any electronic raffle system used to conduct a raffle is configured correctly, functioning properly, and fully operational.
- (b) The fiduciary or an affiliated person designated by the fiduciary must verify and document that the electronic raffle system is configured correctly, functioning properly, and fully operational by completing a Major League Sports Raffle Electronic Raffle System and Equipment Checklist and Test Draw (BGC-206 Rev. 10/2017 ~~02/2017~~) prior to each registered event. Every eligible organization shall maintain the form required to be completed by this subdivision for a period of three years.
- (c) Affiliated persons are not permitted to restart a raffle sales unit or otherwise adjust any associated network equipment for any reason without the oversight of the fiduciary or the oversight of an affiliated person designated by the fiduciary.
- (d) If for any reason any parts of the electronic raffle system, such as the raffle sales unit, printers, or associated network, fail to function properly prior to, or during, the sale of any raffle ticket, the eligible organization must notify the Bureau immediately.

Note: Authority cited: Section 320.6, subdivision (o), Penal Code. Reference: Section 320.6, Penal Code.

**AJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION ANNUAL REGISTRATION FORM**



FOR CALENDAR YEAR 20__

MAIL TO:

Bureau of Gambling Control
P.O. Box 168024
Sacramento, CA 95816-8024

Phone: (916) 227-3584; 830-1700 Fax (916) 227-0170

For Official Use Only

CT Status _____

FTB Status _____

SOS Status _____

Pursuant to California Penal Code section 320.6, this form shall be used by eligible organizations to apply for a registration issued by the Department of Justice. Please type or print (in ink) all information requested on this form. **A nonrefundable, \$5,000 Annual Registration Fee must accompany this form. Make check or money order payable to the California Department of Justice.**

SECTION 1: ORGANIZATION INFORMATION

Provide at least one of the following numbers: Federal Tax ID: _____ Corporate: _____ Organization: _____ Charitable Trusts: _____	Name of Organization Address no. and street name City State Zip Code		
Is the organization qualified to conduct business in the State of California at least one year prior to first raffle? <input type="checkbox"/> YES <input type="checkbox"/> NO			
Team or Association Affiliation	Phone Number	E-Mail Address (if applicable)	

SECTION 2: TAX EXEMPT STATUS

Specify the organization's tax exempt status pursuant to California Revenue and Taxation Code section:
☐ 23701a ☐ 23701b ☐ 23701d ☐ 23701e ☐ 23701f ☐ 23701g ☐ 23701k ☐ 23701l ☐ 23701t ☐ 23701w
Has the organization applied for or been granted IRS tax exempt status? ☐ YES ☐ NO
Date of application for IRS tax exemption OR Date of exemption letter

SECTION 3: FIDUCIARY INFORMATION

(Person with legal authority to make financial decisions on behalf of the eligible organization and ensure compliance with the Major League Sports Raffle Program.)

First Name	Last Name	Middle Initial
Title		
Date		

SECTION 4: CERTIFICATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete. I declare that our organization has been qualified to conduct business in the State of California for at least one year prior to the first raffle to be held this calendar year. Additionally, our organization and its representatives agree to comply with all applicable laws and administrative regulations regarding the conduct of major league sports raffle(s) in the State of California.

First Name

Last Name

Middle Initial

Fiduciary's Printed Name

Fiduciary's Signature: _____

Date: _____

AJOR LEAGUE SPORTS RAFFL
ELIGIBLE ORGANIZATION ANNUAL REGISTRATION FORM



Privacy Notice on Data Collection Forms

As Required by Civil Code § 1798.17

Collection and Use of Personal Information

The Division of Law Enforcement, Bureau of Gambling Control in the Department of Justice collects the information requested on this form as authorized by California Penal Code section 320.6. The Bureau uses this information to establish grounds for the license, permit or other approval indicated on this application form. In addition, any personal information collected by state agencies is subject to the limitations in the Information Practices Act and state policy. The Department of Justice's general privacy policy is available at <http://oag.ca.gov/privacy-policy>.

Providing Personal Information

All the personal information requested in this form must be provided.

Access to Your Information

You may review the records maintained by the Division of Law Enforcement, Bureau of Gambling Control in the Department of Justice that contain your personal information as permitted by the Information Practices Act. (See below for contact information.)

Possible Disclosure of Personal Information

In order to process your application, we may need to share the information you give us with law enforcement or regulatory agencies.

The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes;
- To another government agency as required by state or federal law.

Contact Information

For questions about this notice or access to your records, you may contact the Special Agent Supervisor of Special Programs at the Department of Justice, Bureau of Gambling Control, at P. O. Box 168024, Sacramento, CA 95816-8024, (916) 227-3584 830-1700 or e-mail at GamblingControl@doj.ca.gov



MAJOR LEAGUE SPORTS RAFFLE
MANUFACTURER AND DISTRIBUTOR OF PRODUCTS OR SERVICES
ANNUAL REGISTRATION FORM
FOR CALENDAR YEAR 20__

MAIL TO:
Bureau of Gambling Control
P. O. Box 168024
Sacramento, CA 95816-8024
Phone: (916) 227-3584; 830-1700 Fax: (916) 227-0170

Pursuant to California Penal Code section 320.6, manufacturers and distributors, who provide raffle-related products or services to eligible organizations that conduct major league sports raffle(s) must register annually with the Department of Justice. This form shall be used by manufacturers and distributors who provide raffle-related products or services to apply for registration with the Department of Justice.

Please type or print (in ink) all information requested on this form. **A \$5,000 Annual Registration Fee must accompany this form. Make check or money order payable to the California Department of Justice.**

SECTION 1: ENTITY INFORMATION					
Applicant's First Name		Last Name		Middle Initial	Title
Business Name			Doing Business As (if different than Business Name)		
Business Address (no. and street name)		City	State <input type="text"/>	Zip Code	Business Telephone Number
Mailing Address (no. and street name)		City	State <input type="text"/>	Zip Code	Business Fax Number
City or County of Business License		Business License or Tax Certificate Number		Business License Expiration Date	
Federal Tax ID	E-Mail Address (if applicable)		Website Address (if applicable)		
SECTION 2: RAFFLE-RELATED PRODUCTS AND SERVICES					
Please indicate the products and/or services that the business provides:					
<input type="checkbox"/> Electronic Accounting & Reporting System Software			<input type="checkbox"/> Electronic Raffle Ticket Sales Printer		
<input type="checkbox"/> Electronic Accounting & Reporting System			<input type="checkbox"/> Electronic Raffle Ticket Paper		
<input type="checkbox"/> Electronic Raffle System Security Component			<input type="checkbox"/> Counterfoil Container		
<input type="checkbox"/> Electronic Raffle System Server			<input type="checkbox"/> Admission-style Raffle Tickets		
<input type="checkbox"/> Electronic Raffle System Server Software			<input type="checkbox"/> Wide Area Network Component		
<input type="checkbox"/> Electronic Raffle Ticket Sales Device					
Other <input type="text"/>					



**MAJOR LEAGUE SPORTS RAFFLE
MANUFACTURER AND DISTRIBUTOR OF PRODUCTS OR SERVICES
ANNUAL REGISTRATION FORM**

SECTION 3: MANUFACTURER LICENSE INFORMATION

If additional space is needed, please attach a listing of the requested information on a separate sheet of paper.

Has the equipment being registered been licensed with any gaming agency, including any other state, city, county, federal, or country agency?

☐ No

☐ Yes. Please list the gaming agency and license information in the following table

Gaming Agency Name	License Number from that Agency	Expiration Date

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete. Additionally, our business and its representatives agree to comply with all applicable laws, local ordinances, and administrative regulations concerning major league sports raffles in the State of California.

First Name

Last Name

Middle Initial

Printed Name

Signature: _____

Date: _____



**MAJOR LEAGUE SPORTS RAFFLE
MANUFACTURER AND DISTRIBUTOR OF PRODUCTS OR SERVICES
ANNUAL REGISTRATION FORM**

Privacy Notice on Data Collection Forms

As Required by Civil Code § 1798.17

Collection and Use of Personal Information

The Division of Law Enforcement, Bureau of Gambling Control in the Department of Justice collects the information requested on this form as authorized by California Penal Code section 320.6. The Bureau uses this information to establish grounds for the license, permit or other approval indicated on this application form. In addition, any personal information collected by state agencies is subject to the limitations in the Information Practices Act and state policy. The Department of Justice's general privacy policy is available at <http://oag.ca.gov/privacy-policy>.

Providing Personal Information

All the personal information requested in this form must be provided.

Access to Your Information

You may review the records maintained by the Division of Law Enforcement, Bureau of Gambling Control in the Department of Justice that contain your personal information as permitted by the Information Practices Act. (See below for contact information.)

Possible Disclosure of Personal Information

In order to process your application, we may need to share the information you give us with law enforcement or regulatory agencies.

The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes;
- To another government agency as required by state or federal law.

Contact Information

For questions about this notice or access to your records, you may contact the Special Agent Supervisor of Special Programs at the Department of Justice, Bureau of Gambling Control, at P. O. Box 168024, Sacramento, CA 95816-8024, (916) 227-3584 830-1700 or e-mail at GamblingControl@doj.ca.gov

FOR CALENDAR YEAR 20

MAIL TO:

Bureau of Gambling Control
P. O. Box 168024
Sacramento, CA 95816-8024

Phone: (916) 227-3584; 830-1700 Fax: 227-0170

Please type or print (in ink) all information requested on this form. A nonrefundable \$10 Annual Registration Fee for each Manual Draw Supervisor listed in Section 2 must accompany this form. Make check or money order payable to the California Department of Justice.

[illegible]

**MAJOR LEAGUE SPORTS RAFFLE
MANUAL DRAW SUPERVISOR ANNUAL REGISTRATION FORM**



SECTION 3: CERTIFICATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete. I understand that the information I have provided on this form will be verified with the eligible organization as part of the registration process. I agree to comply with all applicable laws, local ordinances, and administrative regulations concerning major league sports raffles in the State of California.

First Name

Last Name

Middle Initial

Fiduciary's Printed Name

Fiduciary's Signature:

Date:

Privacy Notice on Data Collection Forms

As Required by Civil Code § 1798.17

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Possible Disclosure of Personal Information

In order to process your application, we may need to share the information you give us with law enforcement or regulatory agencies.

The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes;
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**MAJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION ANNUAL REPORT**



PLEASE SEND COMPLETED REPORT TO:
Bureau of Gambling Control
P. O. Box 168024
Sacramento, CA 95816-8024
Phone: 916-227-3584; 830-1700 Fax (916) 227-0170

Annual Report Period: _____

Eligible Organization's Name: _____

Eligible Organization's Registration Number: _____

Pursuant to Penal Code section 320.6, subdivision (o)(12)(A), once registered, an eligible organization shall file annually thereafter with the Department of Justice a report that includes all of the following information for each of the eligible organization's last three fiscal years. Pursuant to Penal Code section 320.6, subdivision (o)(12)(B), failure to submit the annual report shall be grounds for denial of an annual registration.

REGULATION/STATUTE	Year 1	Year 2	Year 3
	to	to	to
(i) The aggregate gross receipts from the operation of raffles.			
(ii) The aggregate direct costs incurred by the eligible organization from the operation of raffles.			
(iii) The charitable or beneficial purposes for which proceeds of the raffles were used.			
(iv) The aggregate distributions of proceeds from the operation of raffles made to directly support beneficial or charitable purposes, other than beneficial or charitable purposes undertaken by the eligible organization, or eligible recipient organizations, under Penal Code section 320.5, subdivision (c).			
(v) The aggregate distributions of proceeds from the operation of raffles made to raffle winners.			
(vi) The aggregate distributions of proceeds from the operation of raffles made to any other organizations, or for any other purposes, other than those included in items (ii), (iv), and (v) above.			

MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION ANNUAL REPORT

REGULATION/STATUTE	Year 1	Year 2	Year 3
	to	to	to
(vii) A schedule of distributions of proceeds from the operation of raffles, by individual raffle, made to eligible recipient organizations under Penal Code section 320.5, subdivision (c), that are not affiliated with the eligible organization.			
(viii) A schedule of distributions of proceeds from the operation of raffles, by individual raffle, made to eligible recipient organizations under Penal Code section 320.5, subdivision (c), that are affiliated with the eligible organization.			
(ix) A schedule of distributions of proceeds from the operation of raffles, by individual raffle, made to any other organization not included under items (vii) or (viii) above, or for beneficial or charitable purposes undertaken by the eligible organization.			
(x) The aggregate gross receipts from activities other than the operation of raffles.			
(xi) The aggregate costs incurred by the eligible organization from activities other than the operation of raffles.			
(xii) The aggregate distributions of funds other than proceeds from the operation of raffles made to directly support beneficial or charitable purposes or eligible recipient organizations under Penal Code section 320.5, subdivision (c).			
(xiii) The aggregate distributions of funds other than proceeds from the operation of raffles for purposes other than those listed in items (xi) and (xii) above.			

**MAJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION ANNUAL REPORT**

REGULATION/STATUTE	Year 1	Year 2	Year 3
	to	to	to
(xiv) A schedule of distributions of funds other than proceeds from the operation of raffles made to eligible recipient organizations under Penal Code section 320.5, subdivision (c), that are not affiliated with the eligible organization.			
(xv) A schedule of distributions of funds other than proceeds from the operation of raffles made to any other organization not included under item (xiv) above, or for beneficial or charitable purposes undertaken by the eligible organization.			

NOTE: The department shall make the reports required by this paragraph available to the public via the online search portal of the Attorney General's Registry of Charitable Trusts maintained pursuant to Section 12584 of the Government Code.

CERTIFICATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information is true, correct, and complete.

First Name

Last Name

Middle Initial

Fiduciary's Printed Name

Fiduciary's Signature: _____

Date: _____

MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION ANNUAL REPORT

Privacy Notice on Data Collection Forms

As Required by Civil Code § 1798.17

Collection and Use of Personal Information

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Providing Personal Information

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Access to Your Information

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Possible Disclosure of Personal Information

In order to process your application, we may need to share the information you give us with law enforcement or regulatory agencies.

The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes;
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Contact Information

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MAIL TO:
Bureau of Gambling Control
P. O. Box 168024
Sacramento, CA 95816-8024
Phone: (916) 227-3584; 830-1700 Fax: 227-0170

Please type or print (in ink) all information requested on this form. **A nonrefundable \$100 Registration Fee for each raffle listed in Section 2 must accompany this form. Make check or money order payable to the California Department of Justice.**

[illegible]



MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION RAFFLE REGISTRATION FORM

SECTION 3: CERTIFICATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete. I understand that the information that I have provided on this form will be verified with the eligible organization as part of the registration process. I agree to comply with all applicable laws, local ordinances, and administrative regulations concerning major league sports raffles in the State of California.

First Name

Last Name

Middle Initial

Fiduciary's Printed Name

Fiduciary's Signature:

Date:

Privacy Notice on Data Collection Forms

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MAJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION - EQUIPMENT REGISTRATION FORM



BUREAU OF GAMBLING CONTROL
P. O. Box 168024
Sacramento, CA 95816-8024
Phone: (916) 227-3584; 830-1700 Fax: 227-0170

Pursuant to California Penal Code section 320.6, subdivision (o)(3), an eligible organization shall register the equipment used in the sale and distribution of raffle tickets, and shall have the equipment tested by an independent gaming test laboratory. This form is used for the eligible organization to register the equipment used in the sale and distribution of raffle tickets.

SECTION 1 - Eligible Organization Information

Eligible Organization/Team or Association Affiliation Name:

Address (Numbers/Street)

City

State

Zip Code

Mailing Address (if different than above)

City

State

Zip Code

Phone Number

Fax Number

Web Address

Fiduciary Name

Title

Phone Number

Fax Number

E-Mail Address

SECTION 2 - Manufacturer License Information

If additional space is needed, please attach a listing of the requested information on a separate sheet of paper.

Has the equipment being registered been licensed with any gaming agency, including any other state, city, county, federal, or country agency?

☐ No

☐ Yes. Please list the gaming agency and license information in the following table

Gaming Agency Name	License Number from that Agency	Expiration Date

MAJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION - EQUIPMENT REGISTRATION FORM

SECTION 3 - Equipment Information

Complete the information below for each equipment model and its designated software version you are registering pursuant to Penal Code section 320.6, subdivision (o)(3). If you are requesting approval for more than three pieces of equipment, please make an additional copy of this page and attach to the application.

Model Name		Model Number	
Software (Firmware) Version		Software (Firmware Build Date)	
Answer the following questions regarding the equipment model and its designated software version (if applicable) listed above.			
1. Description of equipment:			
2. Has the model and software version been previously tested or certified by an independent gaming test laboratory? If yes, attach copies of certification documents.		<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Is this equipment model leased by your organization?		<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Is this equipment model owned by your organization?		<input type="checkbox"/> YES <input type="checkbox"/> NO	

Model Name		Model Number	
Software (Firmware) Version		Software (Firmware Build Date)	
Answer the following questions regarding the equipment model and its designated software version (if applicable) listed above.			
1. Description of equipment:			
2. Has the model and software version been previously tested or certified by an independent gaming test laboratory? If yes, attach copies of certification documents.		<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Is this equipment model leased by your organization?		<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Is this equipment model owned by your organization?		<input type="checkbox"/> YES <input type="checkbox"/> NO	

Model Name		Model Number	
Software (Firmware) Version		Software (Firmware Build Date)	
Answer the following questions regarding the equipment model and its designated software version (if applicable) listed above.			
1. Description of equipment:			
2. Has the model and software version been previously tested or certified by an independent gaming test laboratory? If yes, attach copies of certification documents.		<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Is this equipment model leased by your organization?		<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. Is this equipment model owned by your organization?		<input type="checkbox"/> YES <input type="checkbox"/> NO	

MAJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION - EQUIPMENT REGISTRATION FORM

SECTION 4 - CERTIFICATION / SIGNATURE

A fiduciary of the eligible organization must sign on behalf of the eligible organization.

I certify under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, the information contained herein and in any attachments, is true, accurate, and complete. I also certify that any equipment and its designated software version indicated on this form meets the requirements of the Major League Sports Raffle Program regulations and understand that the approval is subject to the following conditions:

- (1) Any equipment used in the sale and distribution of raffle tickets must be from a manufacturer or distributor registered with the Department of Justice, pursuant to Penal Code section 320.6.*
- (2) Registration of equipment and any associated software has no bearing on the question of whether the manufacturer or distributor of the device, or any person affiliated with the manufacturer or distributor of the device, will qualify for issuance of any registration. Any approval will be cancelled in the event that the manufacturer or distributor of the device is subsequently determined to be ineligible for registration.*

Fiduciary's Signature

Fiduciary's Printed Name

Date

**MAJOR LEAGUE SPORTS RAFFLE
ELIGIBLE ORGANIZATION - EQUIPMENT REGISTRATION FORM**

Privacy Notice on Data Collection Forms

As Required by Civil Code § 1798.17

Collection and Use of Personal Information

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Access to Your Information

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Possible Disclosure of Personal Information

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- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes;
- To another government agency as required by state or federal law.

Contact Information

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MAJOR LEAGUE SPORTS RAFFLE ELECTRONIC RAFFLE SYSTEM AND EQUIPMENT CHECKLIST AND TEST DRAW

BUREAU OF GAMBLING CONTROL

P.O. Box 168024

Sacramento, CA 95816-8024

Phone: (916) 227-3584; 830-1700 Fax: 227-0170

per agency
request
1/16/18
TH

Before using an electronic raffle system (system) to conduct a raffle, the eligible organization must test the system. (Cal. Code. Regs., tit. 11, § 2109.) Use this checklist before each registered event to document that the system is configured correctly, functioning properly, and fully operational. You may attach additional pages to this form, if additional space is needed to document the test. Every eligible organization must keep the completed form, and any information attached, including all photographs taken, for a period of three years.

Event/Venue:

Registered Event Number

Date:

Name of Fiduciary or Designated Affiliated Person

Equipment Information

a. Raffle Sales Unit (RSU): Make/Model and Quantity

b. Raffle ticket printers: Make/Model

c. Stand Alone Kiosk: Make/Model and Quantity

d. Counterfoil Printers: Make/Model and Quantity

Equipment Location

e. Dedicated Server

f. Secure Server Location

Passwords and Access

- ☐ Verified Password Access to Server ☐ Firewall Configuration
☐ RSU Access Controls

per agency
request
1/16/18
TH

MAJOR LEAGUE SPORTS RAFFLE ELECTRONIC RAFFLE SYSTEM AND EQUIPMENT CHECKLIST AND TEST DRAW

Miscellaneous

- ☐ Wireless Encryption ☐ RSU Physical Security ☐ Uninterruptible Power Supply Support
- ☐ RSU Communication with Server ☐ Backup and Recovery Procedures
- ☐ Photograph Counterfoil Printer(s) and Counterfoil Container Layout in Venue
- ☐ RSU locations (include a map identifying locations sales will occur and location where RSUs not in use are stored)

Identify personnel with designated responsibility of any part of the system

Test Draw

a. Enroll the RSU (one kiosk and two portable devices) for a test draw*:

- i. 2 portable devices configured for WiFi. (If applicable) ☐
- ii. 1 kiosk connected to central system. (If applicable) ☐
- iii. Counterfoil printers online with sufficient paper. ☐

*One RSU will be required to have SD card removed during backup/restore testing process

b. Sell 50 tickets from portable devices (if in use) and/or kiosk (if in use) ☐

c. Void 15 tickets. ☐

d. Close sales on RSU devices and close the test draw on the central server. ☐

e. Select a winning number from the counterfoil container and document. ☐

- i. Winning number selected: _____
- ii. Complete winning number verification process.
- iii. Generate, save and collect Raffle Bearer Ticket Report and Voided Draw Number Report in Excel Format (pursuant to Cal. Code. Regs. tit. 11, § 2102).
- iv. Collect all test raffle tickets
- v. Collect all counterfoil tickets from the counterfoil container.

f. Ensure printed information on bearer ticket meets Cal. Code. Regs., tit. 11, § 2100 requirements: ☐

- 1) The name of the eligible organization conducting the raffle;
- 2) The Bureau-issued registration identification number for the eligible organization registration;
- 3) The location, date and time of the corresponding raffle and manual draw;
- 4) The unique number of the raffle ticket that must not be generated by a random number generator;
- 5) If different than the eligible organization conducting the raffle, the name of the eligible recipient organization;
- 6) The statement: "Ticket holders need not be present to win," and the contact information, including the name, phone number, and electronic mail address, of the eligible organization conducting the raffle;
- 7) 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," and
- 8) The time limit for the raffle player to claim the prize, as provided in Penal Code section 302.6.

**MAJOR LEAGUE SPORTS RAFFLE
ELECTRONIC RAFFLE SYSTEM AND EQUIPMENT
CHECKLIST AND TEST DRAW**

per agency
request
1/16/18
TH

Test Draw (continued)	
g. Use barcode scanner to scan counterfoil tickets (if applicable).	<input type="checkbox"/>
h. Verify printed counterfoil ticket numbers match with Raffle Bearer Ticket Report.	<input type="checkbox"/>
i. Check battery status of all battery powered equipment. Ensure low batteries are replaced.	<input type="checkbox"/>
j. Test low/no paper condition in counterfoil printer. Manually disable all counterfoil printers except one:	<input type="checkbox"/>
i. Insert paper roll that is low on paper into the remaining active printer. Check for low paper signal from printer.	
ii. Remove paper roll from printer. Check for paper out signal.	
iii. Replace paper when it has run out. Verify printer restarts on paper replacement.	
k. Test RSU devices for non-WiFi operation.	<input type="checkbox"/>
i. Close sales on RSUs and close the test draw on central server.	
ii. Verify that all sales have been uploaded. Photograph resulting screens.	
iii. Select a winning number from the counterfoil container and complete the winning number verification process.	
iv. Generate, save and collect Raffle Bearer Ticket Report in Excel format: (pursuant to Cal. Code. Regs., tit 11, § 2102).	
v. Collect all test raffle tickets.	
vi. Collect all counterfoil tickets from the counterfoil container.	
vii. Verify printed information on bearer ticket meets Cal. Code. Regs., tit. 11, § 2100 requirements.	
CERTIFICATION	
<i>I certify under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, the information contained herein and in any attachments, is true, accurate, and complete.</i>	
Name of Person Completing this Check List	
Title	
Signature	Date
Fiduciary's Signature	
Fiduciary's Printed Name	Date