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CASINO TERMS & CONDITIONS and OPERATING GUIDELINES

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CASINO

TERMS & CONDITIONS and OPERATING GUIDELINES

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1.1 DEFINITIONS

1.1.1 In this handbook,

a) "Advisor" means all independent advisors (cash cage advisor or count room advisor).

b) "AGLC" means the Alberta Gaming, Liquor and Cannabis Commission.

c) "AML" means anti-money laundering. *(Added Apr 2018)*

d) "Applicant" means an individual, corporation or other entity applying for a licence, registration or approval, pursuant to section 9 of the Gaming, Liquor and Cannabis Regulation. *(Amended May 2017)*

e) "Applicant's associates" means an individual, corporation or other entity that has a financial interest in the applicant, in the applicant's business or in the facility or premises to which the application relates, pursuant to section 9 of the Gaming, Liquor and Cannabis Regulation. *(Amended May 2017)*

f) "Banned patron" means a person who has been deemed by AGLC as a detriment to the integrity of or lawful conduct of gaming activities and has been issued a ban from access to casino facilities in Alberta. *(Added Aug 2017)*

g) "Board" means the Board of AGLC.

h) "Bona fide member of a licensed charity" means an individual who is listed or named in the licensed charity's official records as a current member in good standing of the licensed charity.

i) "Casino facility licensee" means the individual, partnership or corporation holding a casino facility licence which authorizes the operation of a facility in which a casino event may be conducted, and is the business entity named as the casino retailer in the retailer agreement respecting electronic games. *(Amended Jan 2015)*

j) "Casino retailer" means the casino facility licensee. *(Added Jan 2015)*

k) "Casino Terms & Conditions and Operating Guidelines (CTCOG)" means AGLC's set of policy requirements and

operating guidelines which apply to casino events held in a licensed casino facility.

l) "Charitable Gaming Policies Handbook" means AGLC's set of policies, policy standards and procedures which apply to gaming licensing eligibility and the use of gaming proceeds.

m) "Charity worker" means a registered gaming worker who is a paid employee of a First Nation charity that is working in the capacity of a general manager, alternate general manager, banker, cashier, chip runner, count room supervisor, sorter, counter, recorder or amalgamator.

n) "Dedicated camera" means a surveillance camera used to provide full time uninterrupted coverage for the gaming terminal, table game, device or area specified. *(Amended Jan 2015)*

o) "Discrepancy Report" means a report prepared by the casino facility licensee, licensed charity, registered worker and/or volunteer regarding a breach of the CTCOG, security breach or any other illegal activity.

p) "Electronic game" means a lottery scheme played on a gaming terminal in which, upon payment of lawful currency, a person by chance may receive credit(s) that can be redeemed for further play or money. *(Added Jan 2015)*

q) "Event" means all casino games conducted during a specified period of time indicated on the casino licence.

r) "Fixtures" means auxiliary equipment and supplies required for the operation of the gaming terminals, including but not limited to the clerk validation terminal, i-LINK™ (video lottery site controller) if applicable, ticket redemption kiosks, validation PCs, audit PCs, security PCs, additional system hardware (ticketing, digital signage and gaming terminal support), stools, money handling equipment, printer, communications equipment and cabling. *(Added Jan 2015)*

s) "Flash drive" or "thumb drive" is a small portable external storage device that reads and writes to flash memory, a solid-state storage medium which is universally compatible.

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t) "Gaming service provider" means any person or corporation that supplies services deemed by AGLC to enable, facilitate, promote or assist a gaming licensee in the conduct and management or delivery of a gaming activity or a facility licensee in the operation of a licensed facility. *(Added Mar 2016)*

u) "Gaming supplier" means any person who makes, sells, advertises or distributes gaming supplies; *(Added Mar 2016)*

v) "Gaming supplies" means supplies, equipment and devices designed to be used in a gaming activity, but does not include normal office supplies or things specified in the regulations; *(Added Mar 2016)*

w) "Gaming terminal" means a computer, video device or machine that is used, or could be used, to play a lottery scheme as defined in the *Criminal Code* (Canada) where, on insertion of money or a token or on payment of any consideration a person may receive or be entitled to receive money, either directly from the computer, video device or machine or in another manner. *(Added Jan 2015)*

x) "Host First Nation" is a First Nation with an operating casino licensed by AGLC and located on an Indian reserve set apart prior to January 1, 2001, or on a reserve set apart after that date which is contiguous to an existing reserve and to which the Province of Alberta has consented.

y) "Inspector" means an inspector of AGLC, any police officer as defined in the *Police Act* or someone designated by AGLC as an inspector under the *Gaming, Liquor and Cannabis Act*.

z) "Licensed charity" means the charitable or religious organization holding a casino licence authorizing a casino within a licensed casino facility or other approved location.

aa) "Minor" means a person under the age of 18 years.

bb) "Pit boss" includes the floor supervisor or any other person employed in that capacity.

cc) "Pit supervisor" includes pit manager or any other person employed in that capacity.

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dd) "Registered gaming worker" means a person registered with AGLC to perform the function(s) specified in their registration.

ee) "Retailer agreement" means the Electronic Games - Casino Retailer Agreement and includes any schedules as amended from time to time. *(Added Jan 2015)*

ff) "Regulatory division" means the Regulatory division of AGLC.

gg) "SDS" means Slot Data System. *(Added Apr 2018)*

hh) "Self-Exclusion" (SE) means when an individual agrees to be excluded from all licensed casino facilities in the Province of Alberta. (Forms are to be made available at all licensed casino facilities). The "Self-Exclusion Program" is designed for people who feel it is in their best interest not to participate in casino gambling. By participating in this program, an individual is agreeing to be banned from all licensed casino facilities in the Province of Alberta. *(Amended Oct 2017)*

ii) "Slot manager" means the registered gaming worker having the overall responsibility of operating gaming terminals. *(Amended Jan 2015)*

jj) "Supplied equipment" means the gaming terminals, signs (includes video signage as well as terminal and non-terminal signage) and fixtures which may be provided by AGLC. *(Added Jan 2015)*

kk) "TITO" means ticket in ticket out, and refers to a barcoded paper ticket issued by a slot machine. *(Added Apr 2018)*

ll) "TRK" means a ticket redemption kiosk where patrons can exchange their slot machine TITO tickets for cash or exchange large denomination bills for smaller denominations. *(Added Apr 2018)*

mm) "Volunteer" means an individual who works without remuneration at a casino event for a licensed charity.

nn) "Wi-Fi" or "wireless fidelity" is a term describing certain types of wireless networks.

oo) "Wireless" means telecommunications in which electromagnetic waves (rather than some form of wire) carry the signal over part or the entire communication path. The distance involved may vary in length.

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pp) "Wireless camera" means a surveillance camera used as a video recording device that transmits signals wirelessly.

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1.2 LEGISLATION AND BOARD POLICIES

1.2.1 Casino facilities and casino events must be operated in accordance with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies established under the legislation including these terms and conditions.

1.2.2 This handbook contains the policies and operating procedures established by the Board pursuant to Section 38(1) of the *Gaming, Liquor and Cannabis Act* which states:

"The Board's policies respecting the activities authorized by a gaming or facility licence are conditions of the licence, including policies made after the licence is issued."

1.2.3 All references in this handbook to "terms & conditions" or "operating guidelines" are considered to be references to Board policies.

1.2.4 Casino facility licensees, registered gaming workers and licensed charities must comply with the legislation and Board policies.

1.2.5 Registered gaming suppliers (see Subsection 1.19.4) and registered gaming worker suppliers, while providing gaming supplies or gaming workers (as authorized in their registration), must ensure that they and the supplies or gaming workers they provide comply with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies. *(Amended Jan 2018)*

1.2.6 Facility licensees, licensed charities and registered gaming workers must comply with all federal, provincial and municipal laws.

1.2.7 Approved gaming service providers (see Subsection 1.19.4), while providing gaming services, must ensure that the services provided are delivered in a manner consistent with Board policy and legislative requirements governing facility and gaming licensees. *(Added Mar 2016)*

1.2.8 Non-compliance with the legislation or Board policies contained in this handbook may result in disciplinary action up to and including suspension or cancellation of licence or registration.

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1.3 LICENSING AND REGISTRATION

1.3.1 A casino licence issued pursuant to Section 19(d) of the Gaming, Liquor and Cannabis Regulation authorizes a casino.

1.3.2 An applicant for a casino event licence must be a charitable or religious organization and must satisfy the Board that the proceeds from the casino will be used for a charitable or religious object, or purpose approved by the Board.

1.3.3 A casino facility licence issued pursuant to section 22(b) of the Gaming, Liquor and Cannabis Regulation authorizes the operation of a facility in which a casino may be conducted. Applicants for casino facility licences will be subject to background checks pursuant to section 9 of the Gaming, Liquor and Cannabis Regulation (see also Sections 4.8 and 4.9). *(Amended Mar 2016)*

1.3.4 *(Deleted Apr 2020)*

1.3.5 A registration for a casino worker (a class of gaming worker) issued pursuant to section 25(b) of the Gaming, Liquor and Cannabis Regulation authorizes a person to perform a function specified in the registration at a casino.

1.3.6 To be eligible to be registered as a gaming worker, an individual must:

a) have the experience specified by the Board for the function; and

b) if the Board establishes an exam for the function, achieve at least the minimum exam score specified by the Board.

1.3.7 Only registered gaming workers as designated in Subsection 6.1.2 may be employed by a casino facility licensee. Under First Nation casino facilities, charity workers designated in Subsection 3.1.1 may be employed by the charity.

1.3.8 A licensed casino facility must not be used for any other gaming activity other than those approved by AGLC.

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OBJECTIONS

New Casino Facility or Relocation of an Existing Casino Facility

1.3.9 AGLC will post all applications for the following types of facility licences on its website at aglc.ca: *(Amended Nov 2017)*

a) a new facility; and

b) the relocation of an existing licensed facility.

1.3.10 The following information will be posted on AGLC's website: *(Amended Nov 2017)*

a) name of the applicant;

b) name of the existing and proposed (if different from the existing facility name) facility;

c) legal and municipal addresses of the existing and proposed facilities;

d) licence(s) applied for; and

e) the date that a written objection must be received by AGLC.

1.3.11 All objections must be submitted in writing and received by AGLC within 21 calendar days from the date the application is posted on AGLC's website in order for the objection to be considered during the current licensing process. *(Amended Nov 2017)*

1.3.12 The applicant will be notified in writing of all objections received.

1.3.13 The applicant will be given 14 days from the date of notification to respond in writing to the objection; an extension may be requested by the applicant. No licence(s) will be issued until the objection and the applicant's response, if any, have been considered by the Board.

1.3.14 The applicant and the person(s) filing the objection will be advised in writing of the Board's decision.

1.3.15 If no objections to the issue of a licence are received within the 21 calendar days AGLC will continue with the licensing process.

1.3.16 *(Deleted Nov 2017)*

1.3.17 *(Deleted Nov 2017)*

1.3.18 *(Deleted Nov 2017)*

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1.3.19 *(Deleted Nov 2017)*

1.3.20 *(Deleted Nov 2017)*

1.3.21 *(Deleted Nov 2017)*

Other Gaming Licence(s)/Registrations

1.3.22 If any written objection to an application for a gaming licence or registration is received by AGLC, the following policies apply:

a) the applicant will be notified in writing of all objections received;

b) the applicant for the licence/registration will be given 14 days from the date of notification to respond to the objection; an extension may be requested by the applicant; and

c) the objection and the applicant's response, if any, will be submitted to the Chief Executive Officer (CEO) of AGLC for consideration. Should an objection to the issue of a licence/registration be received by AGLC without sufficient time to consider the objection, a new licence/registration may be issued and the objection will be considered by the CEO at the earliest possible date.

Objections Received Past Specified Deadlines

1.3.23 Any objection to an application for a licence/registration received after the specified time frames noted above will not be taken into consideration. The objector(s) will be advised accordingly.

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1.4 ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION (AGLC)

1.4.1 AGLC is the province's gaming authority, responsible for conducting and managing provincial lotteries (as defined in Section 1(1) (x) of the *Gaming, Liquor and Cannabis Act*) and for licensing and regulating charitable gaming activities such as casinos.

1.4.2 AGLC issues gaming licences to charitable and religious groups to conduct casino events.

1.4.3 Facility licences are issued by AGLC and the facility licensees must operate under the charitable gaming model of the province. A casino event may only occur under a casino licence issued by AGLC to an eligible charitable or religious group.

1.4.4 The administration and monitoring of licensed casino facilities and casino events is the responsibility of AGLC.

1.4.5 A minimum of five copies of the CTCOG and a copy of the *Gaming, Liquor and Cannabis Act* and Gaming, Liquor and Cannabis Regulation are provided to each casino facility licensee.

1.4.6 The casino facility licensee is responsible for ensuring the CTCOG are available throughout the casino facility to both registered gaming workers and the licensed charity (see Subsection 2.4.1b).

1.4.7 The casino facility licensee is responsible to keep the CTCOG updated when amendments are received. A page titled "Record of Amendments" is located at the front of the CTCOG handbook to keep track of updates issued and date inserted in the handbook.

1.4.8 Information contained in sections 1. General Information, 2. Licensed Charity and 3. Volunteer/Charity Workers are provided to all licensed charities in the Casino Licence Application. The licensed charity is responsible for ensuring that volunteers and charity workers are familiar with these three sections.

1.4.9 Facility licensees and registered gaming workers:

a) are responsible for knowing the legislation and the policies referred to or contained in the terms and conditions;

b) must ensure that all records, reports and financial control forms as required by AGLC or its representatives are complete and accurate; and

c) must ensure that all communications (written or oral) with AGLC or its representatives are accurate.

1.4.10 The CTCOG may be accessed on AGLC's website at aglc.ca.

1.4.11 Additional or replacement copies of the legislation may be obtained from the Queen's Printer Publication Services in Edmonton at 780-427-4952 and in Calgary at 403-297-6251 or may be accessed at no charge on AGLC's website at aglc.ca.

1.4.12 Training is available to applicants and licensed charities through AGLC's Gaming Information for Charitable Groups (GAIN) program. The GAIN sessions include information on the following topics:

a) the licensing application process;

b) eligibility for gaming licensing;

c) approved use of gaming proceeds;

d) reporting requirements following a gaming event; and

e) legislation, regulation and policy that govern the conduct of gaming events.

1.4.13 Further information about the GAIN program may be obtained on AGLC's website at aglc.ca or by contacting AGLC at 1-866-307-7499 (toll free).

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1.5 CONTACTING AGLC

1.5.1 Written communication may be addressed to any of the following:

Alberta Gaming, Liquor and Cannabis Commission
50 Corriveau Avenue
St. Albert, Alberta T8N 3T5
Fax Number: 780-447-8912

Alberta Gaming, Liquor and Cannabis Commission
110 Deerfoot Atrium
6715 - 8 Street NE
Calgary, Alberta T2E 7H7
Fax Number: 403-292-7302

Alberta Gaming, Liquor and Cannabis Commission
3, 7965 - 49 Avenue
Red Deer, Alberta T4P 2V5
Fax Number: 403-314-2660

Alberta Gaming, Liquor and Cannabis Commission
100 - 11039 - 78 Avenue
Grande Prairie, Alberta T8W 2J7
Fax Number: 780-832-3006

Alberta Gaming, Liquor and Cannabis Commission
3103 – 12 Avenue North
Lethbridge, Alberta T1H 5P7
Fax Number: 403-331-6506

1.5.2 The following is a list of AGLC office telephone numbers. Telephones will be answered by machine when staff is not available or calls are outside normal office hours. Normal office hours are 8:15 a.m. to 4:00 p.m. Monday to Friday, excluding holidays.

St. Albert (Head Office):	780-447-8600
Calgary:	403-292-7300
Red Deer:	403-314-2656
Grande Prairie:	780-832-3000
Lethbridge:	403-331-6500
Gaming Irregularities Only:	1-800-742-7818

1.5.3 The Internet address of AGLC is aglc.ca.

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1.6 GUIDING PRINCIPLES FOR GAMING

1.6.1 The guiding principles for gaming adopted by the province are as follows:

a) The integrity of gaming will be ensured.

b) Gaming policies will reflect a commitment to social responsibility.

c) The financial return to eligible charities from charitable gaming is to be maximized for the benefit of charitable and religious groups, the programs or activities they deliver and the communities in which those programs or activities are undertaken.

d) Gaming policies will be supported by sound research and consultation with the public and stakeholders.

e) The collection and use of gaming revenue will be open and accountable.

f) Gaming activities will meet standards of quality to protect the integrity of gaming activities, provide gaming entertainment value to consumers and help to keep gaming dollars in the province.

g) The guiding principles for gaming will be subject to review, to ensure they reflect Albertans' wishes.

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1.7 DEAL US IN CASINO STAFF TRAINING

(Amended Apr 2016)

1.7.1 For the purposes of this section, "Deal Us In" means a social responsibility training program designed to educate casino facility licensees and their staff on how to recognize the differences between responsible and problem gambling behaviour and appropriately respond to someone who may have a problem with their gambling.

1.7.2 A casino facility licensee must meet Deal Us In Casino Staff Training certification requirements. Equivalency will not be granted for certification offered in other provinces.

1.7.3 Persons requiring Deal Us In certification(s) must be certified within 30 days of the employment start date for all new hires to positions identified in Subsections 1.7.9 and 1.7.11.

1.7.4 Deal Us In certification(s) are valid for a period of five years from the date of successfully completing the program(s).

1.7.5 Deal Us In certification(s) must be maintained by successfully repeating the Deal Us In Phase One and/or Phase Two certification program(s) (including passing the exam[s]) before the certification expiration date.

1.7.6 Casino facility licensee staff must provide proof of Deal Us In certification(s) at the request of an AGLC inspector. Failure to present proof of Deal Us In certification may result in disciplinary action. Proof of Deal Us In certification includes: *(Amended Oct 2016)*

a) paper printed versions that have a QR code;

b) the personal information page printed from the staff member's SMART account;

c) a plastic card (that does not have a QR code);

d) clear images of any of the above (i.e. image, photograph or screen shot) saved on the staff member's mobile device/phone.

1.7.7 It is the responsibility of the casino facility licensee to ensure:

a) all staff in their premises who are required to have Deal Us In certification(s) (see Subsections 1.7.9 and 1.7.11) are certified

in accordance with the requirements identified in Section 1.7; and

b) at least one Deal Us In Phase One and Phase Two certified staff member is on shift at all times.

1.7.8 Casino facility licensees must keep a log of employees who are Deal Us In certified, including the following information:

a) which phase(s) of certification the employee has completed;

b) employee name as it appears on the certification card;

c) SMART Training registration number; and

d) expiry date.

Note: Logs are subject to review by AGLC.

Deal Us In Phase One Certification

1.7.9 Deal Us In Phase One certification is mandatory for all full-time and part-time registered gaming workers. This includes:

a) games managers (major and minor casinos);

b) pit supervisors, pit bosses, and dealers;

c) directors of security, managers of security, security guards, surveillance managers, and monitor room personnel;

d) slot managers, slot supervisors and slot operators (slot attendants, slot cashiers and slot cash room attendants);

e) cash cage advisors and count room advisors; and

f) casino managers and casino facility licensee representatives.

Note: Deal Us In Phase One certification is acceptable in lieu of Reel Facts certification at casinos where staff may have involvement with VLT patrons.

1.7.10 A minimum score of 80 per cent on an AGLC administered examination is required for Deal Us In Phase One certification.

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Deal Us In Phase Two Certification

1.7.11 Deal Us In Phase Two certification is mandatory for individuals working full-time or part-time as a registered gaming worker in the following positions:

a) casino supervisors;

b) managers; and

c) security staff.

1.7.12 Deal Us In Phase One certification is a prerequisite for Deal Us In Phase Two certification.

1.7.13 A minimum score of 80 per cent on an AGLC administered examination is required for Deal Us In Phase Two certification.

1.7.14 Deal Us In certification is not required for staff working full-time or part-time as:

a) kitchen staff;

b) bus persons;

c) cleaning staff; or

d) volunteers.

GUIDELINES

1.7.15 Deal Us In certification options are found on the SMART Training website. For more information on Deal Us In, contact:

SMART Training Programs

Alberta Gaming, Liquor and Cannabis Commission

50 Corriveau Avenue

St. Albert, Alberta

T8N 3T5

Toll Free: 1-877-436-6336

Fax: 780-651-7626

Website: smartprograms.aglc.ca

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1.8 SELF-EXCLUSION PROGRAM

(Amended Oct 2017)

1.8.1 Casino facility licensees must have application forms (Form 5474) available for anyone wishing to participate in the Self-Exclusion Program (SE). A sample form is available on AGLC's GameSense website at gamesenseab.ca. *(Amended April 2016)*

1.8.2 Enrolment into the SE program must be completed in accordance with the procedures outlined in AGLC's Casino and Racing Entertainment Centre (REC) Self-Exclusion Program Manual. *(Amended April 2016)*

1.8.3 *(Deleted April 2016)*

1.8.3.1 The casino facility licensee is responsible for ensuring employees with Deal Us In Phase Two certification assist patrons in signing up for the SE program. *(Added April 2016)*

1.8.4 Casino facility licensees must display all required signage, brochures, and other print material pertaining to the SE program in a prominent and unobscured location within the licensed facility. *(Amended May 2020)*

1.8.5 The SE Program Manual, signage, brochures and other print materials are available from the licensees' designated GameSense Advisor or AGLC's St. Albert Office. *(Amended Oct 2015)*

1.8.6 Casino facility licensees must designate staff members as SE program administrators and ensure that a SE program administrator is available during casino facility operating hours. The SE program administrator will: *(Amended May 2020)*

a) be responsible for ensuring the SE program is delivered at their casino in accordance to AGLC's CTCOG and the SE Program Manual; and

b) serve as the liaison between the licensee and AGLC in matters that pertain to the SE program.

1.8.7 The casino facility licensee must exclude the SE applicant from all casino loyalty program mailings and/or receiving/participating in other promotions offered by the licensee while the applicant is an active SE program participant.

1.8.8 Once the completed SE agreement is received at AGLC, and has been correctly entered into the Gaming Information Network (GIN)

System, an Exclusion bulletin will be sent to all licensed casinos in Alberta. *(Amended April 2016)*

1.8.8.1 It is the responsibility of the facility licensee to ensure that an up to date list of SE participants is maintained and available to surveillance and monitor room personnel, as well as all Deal Us In Phase Two certified staff by means of either:

a) a computer with access to an AGLC supplied application as per the Self-Exclusion Program Manual; or *(Amended May 2020)*

b) a printed binder. It is the responsibility of the SE program administrator to update the binder every two weeks, inserting all new SE bulletins and removing any expired bulletins. *(Amended April 2016)*

1.8.9 In the event of a re-enrolment, the enrolment process must be repeated in order to keep the file and photograph up to date.

1.8.10 Casino facility licensees, employees and agents must prohibit all persons enrolled in the SE program from entering or remaining in a licensed casino facility. Failure to do so may result in the casino facility licensees being charged under section 34.2 of the Gaming, Liquor and Cannabis Regulation.

1.8.11 SE participants are allowed to enter any casino to perform specific work related duties only. Upon completion of these work related duties, the person is required to depart the facility immediately or be considered in violation of their SE agreement.

1.8.12 If casino facility staff have identified a patron they believe to be a suspected SE participant, staff must: *(Amended May 2020)*

a) confirm the patron's identity with the patron's picture identification or through the AGLC supplied application. Staff must then ask the patron to leave the premises immediately and follow the procedures specified in Subsection 1.8.14.

b) ask the patron to leave the premises immediately, if they are unable to provide picture identification; and

c) update the message board to notify other facilities that an individual enrolled in the SE Program was suspected to have re-entered.

1.8.13 *(Deleted May 2020)*

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1.8.14 The facility licensee will notify AGLC of all program breaches by completing an AGLC SE Re-Entry Report as per the instructions outlined in AGLC's Facility SE Re-Entry Procedures section of AGLC's Casino and REC Self-Exclusion Program Manual.

1.8.15 In the event a patron refuses to leave the facility, employees should inform the patron that the police will be called and then take no further action with the patron until the police arrive. Staff should immediately phone the local police agency and seek their assistance in the removal of the person from the premises.

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1.9 ABANDONED OR UNATTENDED CHILDREN

1.9.1 Casino facility licensees are required to develop a policy to address the issue of unattended minors on casino property (including parking areas). A completed discrepancy report must be submitted to AGLC for any unattended minor incident involving emergency services (See Subsection 5.10.3 a)). *(Amended Apr 2020)*

1.9.2 *(Deleted Apr 2020)*

1.9.3 *(Deleted Apr 2020)*

1.9.4 *(Deleted Apr 2020)*

1.9.5 *(Deleted Apr 2020)*

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1.10 MINORS

1.10.1 Minors (under 18 years of age) are not permitted within a casino facility, or other premises where a casino has been authorized, and is being conducted.

1.10.2 A casino facility licensee must not employ minors in the casino facility when a casino is being conducted.

1.10.3 A licensed charity must not use minors as volunteers for a casino.

1.10.4 Casino facility licensee staff are required to obtain valid identification and verify proof of age whenever a person who appears to be under 25 years of age attempts to enter a casino facility. If unsatisfied a person is at least 18 years of age, licensee staff must refuse entry or ask the person to leave. *(Amended October, 2015)*

1.10.4.1 For the purposes of Subsection 1.10.4, valid primary identification must:

a) have a photo;

b) have a name;

c) *(Deleted Nov 2019)*

d) be government issued;

e) include date of birth;

f) not be expired;

g) have a unique identifier number; and

h) be an original (not a copy). *(Amended October, 2015)*

1.10.5 If the identification appears not to be genuine, licensee staff must request a second piece of identification. Valid secondary identification must:

a) have a name;

b) be government issued;

c) have a unique identifier number;

d) include date of birth. *(Amended October, 2015)*

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1.10.5.1 Identification requirements and identity verification for the Anti-Money Laundering program are listed under Section 18.6. *(Added July, 2015)*

1.10.6 Careful examination of identification under adequate lighting must take place to ensure:

a) the photograph is genuine and has not been substituted;

b) the plastic laminate has not been tampered with; and

c) the lettering that provides information on name and date of birth has not been altered.

1.10.7 *(Deleted Nov, 2019)*

1.10.8 Caution should also be exercised to check for identification each and every time a person of questionable age attempts to enter a casino. On a previous occasion, false identification may have been produced and accepted.

1.10.9 If a person of questionable age fails to satisfy staff that the person is of legal age, the employee will refuse entry and ask the person to leave.

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1.11 EXTENDING CREDIT

1.11.1 Cashing personal cheques or extending credit in any form by the casino facility licensee, office staff, registered gaming workers, volunteers, charity workers or any other casino or facility staff is prohibited.

a) In exception to the above, a casino facility licensee may accept a cheque that is: *(Added Mar 2017)*

i) a "casino" cheque - issued from the casino facility licensee's bank account, which has "verified win" or "non-verified win" imprinted on the face of the cheque (see Section 18.13), and is made payable to the bearer; or

ii) a cash call cheque (see Section 1.20).

b) Casino or cash call cheques may be accepted at an open gaming table in exchange for casino chips. *(Amended Mar 2017)*

c) Should a player wish to cash a casino or cash call cheque and there are insufficient chips at the table, play will continue without delay until a "fill" is brought to the table. *(Amended Mar 2017)*

1.11.2 Certified cheques, money orders or bank drafts may be cashed at either the licensed premises or the slot cashier.

a) The decision to cash the above bank instruments is at the discretion of the casino facility licensee.

b) The casino facility licensee assumes full responsibility for any losses which may incur from this practice.

1.11.3 Reimbursement of casino or cash call cheques must be as follows: *(Amended Mar 2017)*

a) On a nightly basis the facility licensee is required to write a single cheque (on casino facility account) directly to the charity for the total amount of all casino and cash call cheques or purchase them back from the charity with cash prior to the conclusion of the count. *(Amended Mar 2017)*

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b) Should the float be significantly depleted, the casino facility licensee must be responsible for replenishing the float:

i) the facility licensee may provide more cash; or

ii) purchase back the casino or cash call cheques for cash. *(Amended Mar 2017)*

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1.12 CASINO ACCESS

1.12.1 Every police officer as defined in the *Police Act* is an inspector for the purposes of the *Gaming, Liquor and Cannabis Act*.

1.12.2 Casino facility licensees, casino licensees (licensed charitable organizations) and registered gaming workers are required to cooperate fully with AGLC inspectors and police officers attending at a casino. A licensee must, on the request of an inspector, AGLC or an employee of AGLC:

a) assist the inspector in carrying out an inspection; and

b) provide the inspector with records, documents, books of account and receipts and provide a place where they may be inspected, audited examined or copied.

1.12.3 To ensure compliance with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies, an AGLC inspector:

a) must be given full and unrestricted access to all areas of a casino facility;

b) may take reasonable samples of gaming supplies;

c) may inspect, audit, examine and make copies of any records, documents, books of account and receipts relating to a gaming activity, a provincial lottery, a gaming or facility licence, gaming supplies or may temporarily remove any of them for those purposes;

d) may interview the licensee or agents of the licensee with regard to any of the records, documents, books of account and receipts;

e) may interview and request identification from any person who appears to be a minor who is found in the licensed facility;

f) may interview and request identification from any person who appears to be a minor who is found outside of the licensed facility if the inspector has reasonable grounds to believe that the person is contravening or has contravened the *Gaming, Liquor and Cannabis Act*; and

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g) may seize identification from any person interviewed if the inspector has reasonable grounds to believe that the identification is false or has been altered.

1.12.4 A field technician employed by or working on behalf of AGLC in a casino facility installing, servicing or removing electronic gaming or gaming related equipment has been designated by AGLC as an inspector pursuant to section 98(1) of the *Gaming, Liquor and Cannabis Act*.

1.12.5 An auditor or person employed or working on behalf of AGLC in a casino facility has been designated by AGLC as an inspector pursuant to section 98(1) of the *Gaming, Liquor and Cannabis Act*.

1.12.6 A cover charge for entering the gaming areas of a casino facility is prohibited. A cover charge may be applied to enter the restaurant/ bar/lounge area of the casino facility.

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1.13 HOURS OF OPERATION

1.13.1 Casino table games are allowed to operate a maximum of 17 consecutive hours, commencing no earlier than 10:00 am, and ending no later than 3:00 am. The casino facility licensee must: *(Amended Nov 2017, Amended Jan. 2015)*

a) upon the initial commencement of casino events in the facility, submit a schedule of the casino's hours of operation to AGLC; and

b) each time the hours of operation change, provide a schedule of the new casino hours of operation to AGLC, advisors, and charitable organizations scheduled for events at least two weeks in advance of the date the new hours of operation take effect. *(Added Nov 2017)*

1.13.2 Gaming terminals are allowed to operate a maximum of 17 consecutive hours commencing at 10:00 am, and ending no later than 3:00 am (see also Subsection 13.1.13). *(Amended Jan. 2015)*

1.13.3 Casino poker rooms may operate 24 hours a day provided the conditions in Subsection 9.18.6 c) are met. *(Amended Jan 2021)*

1.13.4 *Deleted, Jan. 2014*

1.13.5 Casinos are allowed to operate seven days a week.

1.13.6 Casinos may remain open Christmas Day for slot machines only, no casino event licence is required. *(Amended Dec 2020)*

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1.14 DRESS

1.14.1 All registered gaming workers performing duties in the pit must be in a uniform as approved by the casino facility licensee. *(Amended Jan 2020)*

Note: Security staff uniforms must be distinct from other registered gaming worker uniforms and clearly labeled security staff. *(Added Jan 2020)*

1.14.2 Registered gaming workers whose duties include the dealing of any game must wear a pocketless apron while in a gaming pit.

1.14.3 Each casino facility licensee must develop and enforce their own dress code for registered gaming workers to allow for easy recognition by patrons of the casino and to reduce the possibility of criminal activity taking place in the gaming pit or cash cage/count room.

1.14.4 Patrons of the casino are not permitted to wear costumes in the casino at theme night parties, which conceal their identity (e.g., face or eye masks).

1.14.5 *(Deleted Jan 2020)*

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1.15 ADVERTISING

1.15.1 Advertising refers to the use of media to externally communicate a message to a wider audience, including but not limited to: *(Amended Mar 2016)*

a) newspapers;

b) magazines;

c) e-mail;

d) social media;

e) radio;

f) television;

g) internet; and

h) signage.

1.15.2 The purpose of these policies is to provide parameters under which casino facility advertising activities may take place in accordance with the *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation and Board policies. *(Amended Mar 2016)*

1.15.3 These policies are conditions of the facility licence applying to casino facility licensees, and are conditions of the Electronic Games – Casino Retailer Agreement. Casino facility licensees are responsible for ensuring their advertising is, at all times, in compliance with these policies. *(Amended Mar 2016; Amended Jan. 2015)*

1.15.4 *(Deleted Mar 2016)*

1.15.5 Advertising, filming, recording, or broadcasting (e.g. live streaming) of electronic games (including electronic table games) must be submitted to AGLC for approval. (For further information on electronic games, see Section 13.) The proposal must not include advertising on: *(Amended Oct 2017; Amended Mar 2016)*

a) any online gaming service provider or promoter's site including, but not limited to, a play-for-free site or a play-for-money site;

b) a site with a direct link to an online gaming site (free or pay); or

c) a "fantasy sports" site or a site with a direct link to a "fantasy sports" site.

1.15.6 With the exception of the provisions in Subsection1.15.5 and 1.15.9 c), advertising that complies with these policies is permitted without the prior approval of AGLC. Advertising may focus on any one (1) game or activity in the casino facility, or any combination of games or activities. *(Amended Oct 2017; Amended Mar 2016; Amended Jan. 2015)*

Basic Principles

1.15.7 Advertising must: *(Amended Mar 2016)*

a) be within the limits of good taste and propriety;

b) be accurate and verifiable; and

c) within the parameters of the CTCOG, comply with any requirements of the Canadian Radio-Television and Telecommunications Commission and any other regulatory body having related jurisdiction.

1.15.8 Advertising must not: *(Amended Mar 2016)*

a) encourage or promote irresponsible play;

b) depict excessive or prolonged periods of play of table games or electronic games;

c) convey the impression that playing or winning will improve an individual's status or standing;

d) be targeted at minors; or

e) be used to disparage or discredit another company, business or product.

Elements of Advertising

1.15.9 Gambling scenes:

a) the activities shown in any advertising using a casino setting must be within the normal bounds of those which are permitted in the province;

b) a legal setting must be presented, and only table games and non-gaming activities may be shown, any scene depicting an electronic game must be approved by AGLC; *(Amended Oct 2017)*

c) with prior approval of AGLC, gaming activities within a casino facility may be filmed or recorded to develop media clips for

advertising purposes. Any filming, recording or broadcasting (e.g. live streaming) of gaming activities that are not solely for advertising purposes must adhere to the policies set out in Section 1.25; and *(Added Oct 2017)*

d) media clips, photographs or other representation depicting real life patrons must be in accordance with the *Personal Information Protection Act (PIPA)* of Alberta and other applicable legislation. *(Amended Oct 2017)*

1.15.10 Minors:

a) advertising must not appeal specifically to minors or be placed in any medium that is targeted specifically to minors;

b) minors or persons who may be reasonably mistaken for minors may not be depicted in casino advertisements;

c) the use or imitation of children's fairy tales, jingles, nursery rhymes, songs, musical themes or fictional characters is not permitted; and

d) advertising may not be placed at venues (such as sports arenas) which are used primarily by minors.

1.15.11 Personal endorsements:

a) casino endorsement by a well-known personality or look-alike should not imply that playing table games or electronic games has contributed to the individual's success;

b) no well-known personality (e.g., an athlete or a youth-oriented musical group) or look-alike with strong appeal to minors may be used in casino advertising; and

c) the age of personalities and their current standing in the public eye should be taken into account when assessing appeal to minors.

1.15.12 The casino facility licensee is not limited in the amount of their advertising expenses and is fully responsible for all advertising costs. Advertising costs may not be directly or indirectly charged to charities. *(Amended Mar 2016)*

1.15.13 *(Moved (see Sub-section 12.1.7) Apr 2020)*

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1.16 PROMOTIONS

1.16.1 Promotion refers to any activity within a casino facility designed to attract players or to maintain player levels other than through advertising. Such an activity may include, but is not limited to, a contest, draw, prize, giveaway, etc., or similar promotions.

1.16.2 The purpose of these policies is to provide parameters under which promotional activities may take place in accordance with the authority of the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies. *(Amended Jan 2015)*

1.16.3 These policies are conditions of the casino facility licence and conditions of the Electronic Games - Casino Retailer Agreement. Casino facility licensees are responsible for ensuring their promotions are at all times in compliance with these policies. *(Amended Jan 2014; Amended Jan 2016)*

1.16.4 Excluding electronic games, promotions are permitted without the prior approval of AGLC if the intended promotional activity is covered by or directly referred to in these policies. *(Amended Jan 2016)*

1.16.5 Basic principles:

a) promotions must be conducted within the limits of good taste and propriety;

b) promotions may focus on any one game or activity in the casino facility, or any combination of games or activities, in the casino facility authorized by AGLC;

c) casino facility licensees must not provide, by themselves or through any third party, any promotional activity which:

i) alters the elements of chance of any casino game;

ii) provides increased payouts to reward frequent play;

iii) is game-altering in any way; or

iv) is illegal.

d) the licensed charity conducting a licensed casino event must not pay the costs associated with a promotion. Any promotional activity that results in the charities' revenue being reduced is prohibited.

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1.16.6 Bonus play:

a) coupons or similar items presented at a casino facility in exchange for casino gaming chip(s), or for a certain value of play on gaming terminals provided either specifically from the casino facility licensee or a third party, such as a hotel, are permitted; *(Amended Jan 2015)*

b) the casino facility licensee must purchase the casino gaming chips from an open table game for distribution to players in exchange for "coupons" (see Subsection 1.16.6 a)). A casino facility licensee must not delegate the distribution of casino chips. Coupons or similar items must be redeemed within the actual casino facility (i.e. Redemption Booth). The total dollar value of the casino gaming chips purchased must be included in the total costs of promotions;

c) rewards for frequent play are permitted (excluding increased payouts);

d) coupons must be printed for each separate promotion. Mechanical or electronic reproductions of coupons or similar items must not be accepted by the casino facility licensee operating the given promotion; and

e) coupons or similar items for play on gaming terminals may only be redeemed from a slot cashier. *(Amended Jan 2015)*

1.16.7 Promotions in the casino facility:

a) free draws, contests, giveaways or similar promotions are allowed provided that a person is not required to play table games or electronic games, or to remain in the facility to receive a prize as a condition of participating in or entering the draw, or other promotion. A casino facility licensee may require a person to be present at time of draw to receive a prize, however, the time, date and place of the draw must be prominently posted within the casino facility; and

b) casino facility licensees may provide free refreshments or food to players as a means of "customer service". The menu price for the free food, refreshments, or the advertised discounted price, must be included in the total cost of promotions.

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c) *Deleted Jan 2015*

1.16.8 Player reward programs:

a) player tracking and player reward programs are allowed, however, these programs must be submitted to AGLC for approval prior to their implementation. The program submissions must include the following conditions:

i) the casino facility licensee must maintain a current record of patrons who are participants in the Self-Exclusion (SE) program and exclude any SE participants from all casino marketing; *(Amended Oct 2017)*

ii) the casino facility licensee must ensure that any proposal is in compliance with the *Personal Information Protection Act;* *(Amended Oct 2017)*

iii) the casino facility licensee must provide access to an annual win/loss statement and include a statement that indicates the annual win/loss statement for patrons involved in the player reward program is available to AGLC upon request; and

iv) the casino facility licensee must include a statement indicating that a patron may be removed from the player reward mailing list at the player's request; and

b) casino facility licensees may provide incentives to players under the player reward system. Incentives may include meals, concert tickets, accommodations, etc. The price of the incentives, or the advertised discounted price, must be included in the total cost of promotions for the casino facility licensee.

1.16.9 *(Moved (see Sub-section 12.1.7) Apr 2020)*

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1.17 TABLE GAME TOURNAMENTS

1.17.1 Casino facility licensees may host table game tournaments that comply with these policies without prior AGLC approval. *(Amended Jan 2020)*

1.17.2 Prior to start of any table game tournament, the casino facility licensee must complete a Table Game Tournament Event package, which includes:

a) sample entry form;

b) complete rules of play;

c) eligibility and disqualification criteria;

d) complete prize structure;

e) proposed advertising (see Section 1.15) or promotion schemes (see Section 1.16);

f) amount of compensation to the charity (see Section 1.17.5); and

g) Tournament Event Form.

Note: Table Game Tournament Event forms must be signed by a games manager, posted at the tournament location during the event and retained with all supporting documents for two years. *(Amended Jan 2020)*

1.17.3 Tournaments may only be held during a licensed casino event, (see Section 1.13).

1.17.4 A tournament may not adversely affect normal revenues for the licensed charity.

1.17.5 Casino facility licensees must split the revenue generated from entry fees, re-buys and add-ons with the charity holding the event licence as follows:

a) in tournaments where entry fees are $150.00 and less, 10 per cent of the revenue generated must be allocated as compensation to the licensed charity;

b) in tournaments where entry fees are greater than $150.00, 2.5 per cent of the revenue generated must be allocated as compensation to the licensed charity; and

c) the remaining revenue generated must be allocated to the casino facility licensee in order to pay all prize amounts.

1.17.6 Approval from AGLC is required if a casino facility licensee proposes to charge an administration fee that exceeds $20 per player. Administration fees are not subject to charity compensation. *(Amended Jan 2020)*

1.17.7 If the event will be filmed, recorded, or broadcast, a media plan is required (See Section 1.25). *(Added Jan 2020)*

1.17.8 Agreements for third party sponsorship or the provision of gaming services related to assisting with managing and/or promoting table game tournaments must be submitted to AGLC and approved in writing prior to conducting the event. *(Added Jan 2020)*

1.17.9 Progressive game structures (e.g. free rolls, Bad Beat) must receive prior AGLC written approval prior to being included in a tournament event. *(Added Jan 2020)*

1.17.10 All table game tournaments must be accurately entered into CasinoTrack within 24 hours of the conclusion of the event. *(Added Jan 2020)*

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1.18 EQUIPMENT IN CASINOS

1.18.1 A casino facility licensee must not allow computers in any area of a casino facility unless prior approval has been received from AGLC.

1.18.2 Only equipment and/or gaming apparatus approved in writing by AGLC may be utilized in a casino facility.

1.18.3 All gaming related equipment is subject to inspection by AGLC. Casino operators may be required to replace or repair worn or used equipment.

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1.19 RELATIONSHIP WITH GAMING SUPPLIERS AND GAMING SERVICE PROVIDERS

1.19.1 No owner/operator or employee of a casino facility or a consultant to or a person under contract to the casino facility licensee is permitted to be an agent, representative or owner of a company that deals in gaming terminals (as defined in section 1(1)(j.1) of the *Gaming, Liquor and Cannabis Act*), whether or not they are registered in Alberta.

1.19.2 The Board may approve, in writing, a casino facility licensee or any other person noted in Subsection 1.19.1 to deal in gaming supplies, whether or not they are registered in Alberta.

1.19.3 Any person providing gaming supplies in Alberta must be registered as a gaming supplier pursuant to section 40(1)(a) *Gaming, Liquor and Cannabis Act*. *(Amended Mar 2016)*

1.19.4 To ensure integrity in gaming activities occurring under a charitable gaming licence and in the operation of a licensed facility under a facility licence, facility licensees must only utilize:

a) gaming suppliers registered by AGLC to provide gaming supplies used: *(Added Jan 2018)*

   i) in the conduct of a gaming activity occurring under a gaming licence; and

   ii) to monitor and protect the integrity of a charitable and/or electronic gaming activity (e.g. surveillance equipment) occurring under a gaming licence or within a casino facility under a facility licence.

b) gaming service providers approved by AGLC to provide gaming services including but not limited to: *(Added Mar 2016)*

   i) assisting with managing events such as poker tournaments; *(Amended Apr 2020)*

   ii) background checks;

   iii) ATMs; or

   iv) payment processing services.

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1.19.5 AGLC, at its discretion, may conduct any background checks that it considers necessary or appropriate with respect to the registration of gaming suppliers or the approval of gaming service providers. *(Added Mar 2016)*

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1.20 CASH CALL MACHINES

1.20.1 Casino facility licensees may provide cash call machines in the casino facility subject to the following:

a) the casino facility licensee must obtain approval from AGLC prior to installing any type of a cash call machine;

b) the casino facility licensee assumes all costs and risks associated with providing this service;

c) cash call machines are not to be promoted or advertised in any way; and

d) cash call cheques may be cashed at the slot cash cage for cash or at an open gaming table for chips.

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1.21 NEW GAME APPROVAL PROCESS

1.21.1 New games considered for introduction to the province includes gaming activities that possess features or methods of delivery that are deemed to be significantly different from the features or methods of delivery of gaming activities currently available in the province.

1.21.2 New games do not include minor variations of existing technologies or gaming activities. For example, a variation of an approved card game (e.g., blackjack) to a casino facility is not considered a new game.

1.21.3 The approval process for a new gaming activity involves four major steps, as follows:

a) One – Initial Assessment

i) the proponent of a new activity must provide to AGLC a business plan and other required information which will allow AGLC to arrive at a sound preliminary assessment related to the viability of the proposed new game;

ii) AGLC will evaluate the proposal using criteria such as:

- compliance with the requirements of the *Criminal Code* (Canada), *Gaming, Liquor and Cannabis Act* (Alberta) and Gaming, Liquor and Cannabis Regulation (Alberta);
- demand from consumers (market potential) for the proposed new game;
- benefits to be derived for charitable, non-profit, public or community-based initiatives;
- requirement to deliver the proposed new game with integrity and in a socially responsible manner;
- feasibility of the proposed new game when all costs are considered;
- impact the proposed new game will have on other existing gaming activities; and

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- manner in which the proposed new game would be delivered, including the proposed location from which the new game is to be conducted or delivered.

iii) the proposal must also clearly indicate how the revenue from the new game would be divided among prizes, expenses, and ultimately proceeds to charity.

b) Step Two – Obtaining Community Views

AGLC will determine the type and extent of public input required regarding the proposed new game. Such input may range from public consultations or the express consent of a community to considering community objections. The decision in this regard will be affected, among other considerations, by the proposed new game, including its type, where it would be available, financial benefit/cost, and impact on existing gaming activities.

c) Step Three – Final AGLC Review

AGLC will forward the proposal and results of its final review including results from public input, for review and consideration by the Board.

d) Step Four – Approval

The Board will consider the proposal and results of AGLC's review. The new game will be authorized subject to the Board's approval.

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1.22 PATENTED GAMES

1.22.1 Casino facility licensees may provide "patented games" in the casino facility subject to the following:

a) the casino facility licensee must obtain approval from AGLC prior to installing any type of patented game;

b) the casino facility licensee assumes all risks associated with providing said games;

c) the casino facility licensee is to be 100 per cent responsible for any and all costs related to supplying a patented game. Any costs of providing a patented game will be considered part of the fixed fees.

d) The patented game must be on the current approved games list. (see Subsection 9.2.4)

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1.23 AUDIT

1.23.1 Casino books and records are subject to review by AGLC and must be maintained in a manner acceptable to AGLC.

1.23.2 The articles/instruments normally subject to audit will include, but are not limited to:

a) books of original entry (including computerized records);

b) invoices;

c) bank statements and cancelled cheques;

d) event control and summary sheets;

e) internal controls;

f) annual financial statements;

g) Income Tax and Goods and Services Tax Returns;

h) external accountants working paper files; and

i) ownership structure.

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1.24 MAJOR EXHIBITIONS AND SUMMER EVENTS

1.24.1 AGLC may issue a casino licence to all eligible agricultural societies and charitable or religious organizations which operate major exhibitions or summer events. The dates of the exhibition or summer event must be for a minimum of four days in duration. *(Amended Jan. 2014)*

1.24.2 The casino event shall be held at a licensed casino facility in the same community as the exhibition/summer event and may be held for the duration of the exhibition/summer event. *(Added Jan. 2014)*

SECTION: 1. GENERAL INFORMATION

1.25 EVENT MEDIA PLAN

(Added Oct 2017)

1.25.1 With prior approval of AGLC, gaming activities within the licensed casino facility may be filmed or recorded.

1.25.2 The casino facility licensee must submit to AGLC an event media plan that includes, but is not limited to:

a) the name and responsibilities of the media company;

b) a game integrity protection summary;

c) event coverage and hours of the filming, recording or broadcasting; and

d) the anticipated use of the filmed, recorded or broadcast materials.

1.25.3 The media company may be required to be approved as a gaming service provider (see Section 1.19).

1.25.4 The use of any casino facility surveillance equipment for the purpose of filming or recording any gaming activity as part of the event media plan is not permitted.

1.25.5 Any filming, recording or broadcasting of a casino event that may involve casino facility patrons must be in accordance with the *Personal Information Protection Act (PIPA)* of Alberta and other applicable legislation.

SECTION: 1. GENERAL INFORMATION

1.26 BANNED ENTRY (ACCESS MANAGEMENT)

(Added Aug 2017)

1.26.1 Pursuant to section 34.3 of the Gaming, Liquor and Cannabis Regulation, no person is permitted to enter or remain in a licensed casino facility in Alberta that:

a) is enrolled in a Self-Exclusion program referred to in section 34.2 of the Gaming, Liquor and Cannabis Regulation;

b) has been charged with, or convicted of or believed on reasonable grounds to be involved in an offence under section 209 of the *Criminal Code (Canada)*; or is a person referred to in section 34.1(1)(c) of the Gaming, Liquor and Cannabis Regulation;

c) has been charged with, or convicted of or believed on reasonable grounds to be involved in an offence under section 462.31 of the *Criminal Code (Canada)*;

d) is charged with, convicted of or believed on reasonable grounds to be involved in a terrorist activity as defined in the *Criminal Code (Canada)*; or

e) has engaged in an activity, observed by the facility licensee, by an employee or agent of the facility licensee or by the Commission, which the licensee, employee, agent or Commission consider to be a detriment to the integrity of or lawful conduct of gaming activities at a licensed facility.

1.26.2 Following from 1.26.1 e) a person deemed by AGLC to be a detriment to the integrity of or lawful conduct of gaming activities, is one that participates in activities at a casino that includes, but is not limited to:

a) threatening the safety of the public or casino staff;

b) compromising the rules of play as outlined in Section 10; or

c) believed on reasonable grounds, to be criminal in nature.

1.26.3 Casino facility licensees, registered gaming workers, employees and agents must prohibit a patron that falls under the criteria in Subsection 1.26.1 from entering or remaining in a licensed casino facility.

SECTION: 1. GENERAL INFORMATION

1.26.4 Casino facility licensees, registered gaming workers, employees and agents witnessing a patron participating in any activity described in Subsection 1.26.2 must follow the procedures outlined in Section 5.8.

1.26.5 Patron(s) being identified as a detriment to the integrity of or the lawful conduct of gaming activities will be banned by AGLC from all licensed casino facilities.

1.26.6 Patrons banned by AGLC will be notified in writing as to the reason for the ban and the duration of the ban.

1.26.7 AGLC will maintain a database on the casino Gaming Information Network (GIN) that identifies all banned patrons.

1.26.8 It is the responsibility of the casino facility licensee to ensure registered gaming workers, employees and agents of the casino are aware of patrons who have been banned.

1.26.9 Casino facility licensees, registered gaming workers, employees and agents identifying a banned patron in the casino facility must inform the games manager or director/manager of security who then must follow the procedures outlined in Subsection 5.8.1 c).

1.26.10 Banned patrons found in a licensed casino facility are contravening section 34.3 of the Gaming, Liquor and Cannabis Regulation and must be asked to leave the premises immediately.

1.26.11 In the event a banned patron refuses to leave the casino, the facility licensee must notify local law enforcement to attend the casino and remove the patron.

1.26.12 Discrepancy Reports (see Section 5.10) must be submitted to AGLC within 72 hours on all banned patrons who attempt to enter or are found in a casino facility.

SECTION: 1. GENERAL INFORMATION

1.27 PRIZE DISENTITLEMENT

(Added Jul 2020)

1.27.1 Pursuant to section 34.5 of the Gaming, Liquor and Cannabis Regulation, a person is not entitled to any prize or winnings as a result of the person's participation in gaming in a licensed facility if that person is a person referred to in section 34.01, 34.1(1), 34.2(2) or 34.3(2)(b).

1.27.2 In this section, prohibited person(s) means any person referred to in Subsection 1.27.1.

1.27.3 Casino facility licensees must:

a) conduct random daily ID checks at entrances to the licensed facility and check IDs against current lists of prohibited persons; and

b) check IDs against current lists of prohibited persons, including but not limited to the following circumstances:

i) any buy-in(s) of $10,000 or more;

ii) prior to awarding the prize for any table game with a progressive single win of $10,000 or more;

iii) prior to awarding the prize when any bad beat poker prize is won;

iv) prior to any table game tournament offering a single prize of $10,000 or greater;

v) prior to awarding any outstanding prize when multiple hand pays on a gaming terminal total $10,000 or greater;

vi) prior to awarding the prize for any single prize win of $10,000 or more on a gaming terminal; and

vii) when an AGLC cheque is issued as payment for winnings.

SECTION: 1. GENERAL INFORMATION

1.27.4 To ensure that any prohibited person is not awarded prizes from that person's participation, casino facility licensees, registered gaming workers, employees and agents of the casino must, immediately upon becoming aware:

a) hold the funds, for any prize or payment of winnings that has been withheld, in trust, pending AGLC review and direction;

b) provide the patron with the gaming irregularity number and advise them to contact AGLC within 72 hours; and

c) submit a Discrepancy Report (see Section 5.10) to AGLC within 24 hours for any incident involving withholding the awarding of prizes.

1.27.5 Following Subsection 1.27.4, where a person is confirmed to be a prohibited person, AGLC will direct that prizes withheld in accordance with Subsection 1.27.1 be returned to the prize pool.

SECTION: 2. LICENSED CHARITY

2.1 ELIGIBILITY GUIDELINES

2.1.1 Groups applying for a casino licence must be structured in a manner acceptable to the Board and prove a record of active delivery of their charitable or religious program or service to the community. In locations where there is no casino waiting list, casino licences will be considered after 12 months of active program delivery. For locations with a waiting list, an active record of program delivery for the previous 24 months is required. The policies established by the Board for eligibility for casino gaming licensing are contained in Sections 2 and 3 of the Charitable Gaming Policies Handbook. The handbook may be accessed on AGLC's website at aglc.ca.

2.1.2 Each licence application is evaluated based on its geographic location and is subject to the following conditions:

a) groups located within the boundary of Edmonton must conduct casinos within that city. AGLC may, at its discretion, assign Edmonton charities to a specific casino within the city boundaries. Groups located outside of Edmonton may not access casinos within Edmonton. *(Amended Aug 2019)*

b) groups located within the boundary of Calgary must conduct casinos within that city. AGLC may, at its discretion, assign Calgary charities to a specific casino within the city boundaries. Groups located in close proximity to Calgary may conduct casinos at Century Casino in Calgary. This area includes Banff to the west, Crossfield to the north, Strathmore to the east and High River to the south. *(Amended Aug 2019)*

c) outside of Edmonton and Calgary (except as provided for in Subsection 2.1.2.b) groups must normally conduct their casino events at licensed casino facilities situated outside of Edmonton and Calgary which are in their location or at the casino facility in closest proximity to their location.

SECTION: 2. LICENSED CHARITY

d) provincial groups are eligible to conduct casino gaming events in any community in the province subject to compliance with the Board's Related Groups – Eligibility policy. To establish "provincial group status" for gaming licences, groups must establish with AGLC that:

i) the registered charitable objectives of the group have a provincial focus;

ii) the by-laws of the group provide for the establishment of offices in other Alberta communities;

iii) the executive and membership lists of the group indicate that membership is drawn from communities throughout Alberta; and

iv) the group has a record of program or service delivery and plans to continue to deliver its programs and/or services to communities throughout Alberta.

SECTION: 2. LICENSED CHARITY

2.2 USE OF CASINO PROCEEDS

2.2.1 The policies established by the Board for the use of casino proceeds are contained in Sections 4 and 5 of the Charitable Gaming Policies Handbook. The handbook may be accessed on AGLC's website at aglc.ca.

2.2.2 Casino revenue from non-electronic table games can be used to pay prizes and approved expenses needed to operate the casino event. The remaining gaming funds from non-electronic table games are casino proceeds. The commissions paid to licensed charities from slot machines form part of the licensed charity's casino proceeds. The licensed charity's casino proceeds, which are provided by AGLC, must be deposited to the licensed charity's casino bank account. *(Amended Jan. 2015)*

2.2.3 Casino proceeds must be spent on charitable or religious objectives as approved by AGLC, detailed on the licensed charity's casino application and approved on the casino licence.

2.2.4 Changes to the approved use of proceeds after the casino licence is issued must be approved by AGLC prior to the disbursement of proceeds. Two executive members of the licensed group must sign the letter of request for the change in the use of proceeds.

SECTION: 2. LICENSED CHARITY

2.3 DISBURSEMENTS OF CASINO PROCEEDS

2.3.1 All disbursements of casino proceeds must normally be made within 24 months of the receipt of the funds. Any extension of this period must have prior written approval of AGLC. All requests for an extension of this time period must include a supporting business plan. The business plan must include the following:

a) a written explanation why the proceeds have to be accumulated beyond 24 months;

b) any other sources of revenues associated with the planned project or event;

c) a list of expenditures associated with the planned project or event; and

d) a timeline for the anticipated disbursement of the accumulated proceeds.

2.3.2 All payments from the casino account for approved charitable or religious purposes must be made in accordance with AGLC's approved methods of payment outlined in Section 4.4 of the Charitable Gaming Policies Handbook. *(Amended Sep 2019)*

2.3.3 Casino proceeds must normally remain in the casino account until spent on the approved uses. If not required immediately, casino proceeds may:

a) be put into a separate interest account(s);

b) be used to purchase deposit certificate(s); or

c) if the group qualifies as a trustee under the *Trustee Act*, be invested subject to the conditions established for and applying to, investments by a trustee under the *Trustee Act*. To qualify to invest, AGLC will require a letter from the group's lawyer confirming the trustee qualification.

d) if casino proceeds are re-directed as stated in Subsection 2.3.3 a) to c), the following conditions apply:

i) investments made as stated in Subsection 2.3.3 a) and b) must be fully insured as defined in the *Canada Deposit Insurance Act*;

SECTION: 2. LICENSED CHARITY

ii) the financial institution, account or deposit number, or details of other permitted investments and the total value of the funds proceeds transferred or invested must be identified on financial reports;

iii) all interest, dividends or other income earned becomes part of casino proceeds and must be retained in the separate interest bearing account or must be retained as part of the investment if the income is in the form of shares or units; and

iv) when needed for approved uses, proceeds must be transferred back to the casino account to be disbursed.

SECTION: 2. LICENSED CHARITY

2.4 LICENSED CHARITY'S ROLES AND RESPONSIBILITIES

2.4.1 The licensed charity must operate the casino according to:

a) the licence which includes information pertaining to the location, number of games, dates and hours of operation;

b) the operating requirements provided in the Casino Terms & Conditions and Operating Guidelines (CTCOG). A copy is to be available at the casino premises in the following areas:

i) each games pit;

ii) cash cage;

iii) count room;

iv) volunteer/charity worker lounge; and

v) staff lounge.

c) any special conditions required by the Board;

d) the house rules of the casino facility which must not conflict with the CTCOG; and

e) all municipal, provincial and federal laws.

2.4.2 Licensed charities must immediately report to AGLC any irregularities, theft, fraud, cheating at play or violations of policy in the conduct of its licensed gaming event and in the use of gaming proceeds.

2.4.3 Where gaming revenue or gaming proceeds are missing due to suspected theft or fraud, the licensed charity must not initiate any civil action against, or enter into any repayment agreements or other agreements with, persons suspected of being responsible for the missing gaming revenue or proceeds.

2.5 CASINO FACILITY AND SERVICE AGREEMENT

2.5.1 The Casino Facility and Service Agreement is subject to the following conditions: *(Amended Aug 2019)*

a) a licensed charity must not solicit or accept any financial inducement from a casino facility licensee to enter into a Casino Facility and Service Agreement;

b) a casino facility licensee must not offer or give any financial inducement to a licensed charity to enter into a Casino Facility and Service Agreement;

c) a licensed charity must not enter into a Casino Facility and Service Agreement with a casino facility licensee which guarantees a minimum net return to the licensed charity; and

d) a casino facility licensee must not offer or enter into a Casino Facility and Service Agreement with a licensed charity which guarantees a minimum net return to the licensed charity.

e) *(Deleted Aug 2019)*

2.5.2 Casino facility licensees must provide each licensed charity with a Casino Facility and Service Agreement which establishes fixed fees or charges, excluding GST, for the operation of the casino.

2.5.3 The Casino Facility and Service Agreement must include a provision that at the completion of the casino event it will be determined if the total of the fixed fees and charges of the casino facility licensee exceeds:

a) for Edmonton and Calgary Casinos, 50 per cent of the net table game casino proceeds;

b) for the St. Albert casino, 65 per cent of the net table game casino proceeds;

c) for casinos outside Edmonton and Calgary with 350 or more slot machines, 65 per cent of the net table game casino proceeds; and

d) for casinos outside Edmonton, Calgary and St. Albert with 349 or less slot machines, 75 per cent of the net table game casino proceeds.

If such fees and charges exceed the above net proceeds, the casino facility licensee will only be entitled to payment of an amount equivalent to 50, 65 or 75 per cent of the net table game casino proceeds.

2.5.4 For casinos outside of Edmonton and Calgary that increase their number of slot machines from 349 or less to 350 or more, the split of 65/35 of the net table game casino proceeds will be effective Day 1 of the casino event following the installation of the additional slot machines.

2.5.5 GST (if applicable) is paid from the charity pool at the end of each quarter. The amount paid will be based on the casino facility operator fees from that quarter.

2.5.6 The casino facility licensee may keep table game surpluses generated at casino events to cover table game deficits which may occur at subsequent casino events. Net accumulated surpluses that exist at the end of each pooling period will be collected by AGLC through electronic funds transfer.

2.5.7 The casino facility licensee may request an adjustment to its fixed fees, providing such requests have been submitted for the prior approval of AGLC. Adjustment, once approved, would commence at the start of a new quarter.

2.5.8 The casino facility licensee must be responsible for the applicable percentage of losses (net proceeds after prizes are paid is negative), in Edmonton and Calgary 50 per cent; St. Albert 65 per cent; outside of Edmonton and Calgary with 350 or more slot machines 65 per cent; and all others 75 per cent.

SECTION: 2. LICENSED CHARITY

2.6 CANCELLATION OF CASINO DATES / RELOCATION TO ANOTHER FACILITY

2.6.1 A licensed charity that cancels a casino date or asks to relocate to another facility will be bound by the following procedures:

a) *(Deleted Aug 2019)*

b) a licensed charity may trade casino event dates or locations with another licensed charity that is assigned to the same region and quarter, if both licensed charities provide prior written agreement to AGLC; *(Amended Aug 2019)*

c) if a licensed charity cancels its casino event entirely, AGLC will schedule another licensed charity for the dates vacated; and

d) if a licensed charity cancels its scheduled casino event and requests that it be rescheduled, the charity will be rescheduled by AGLC in the quarter the casino applications are currently being slotted for.

SECTION: 2. LICENSED CHARITY

2.7 ADVISOR CONTRACTS

2.7.1 AGLC does not advocate advisor contracts, which obligate charities to utilize the services of a specific advisor for their next casino event where the duration of the contract exceeds one year. Where such contracts have been signed, charities are advised to seek their own legal advice on the legality and enforce ability of these contracts.

2.7.2 The fee stated on an advisor's contract must be the actual amount charged to the charity upon the conclusion of the casino event, as indicated on the CasinoTrack Reconciliation of Casino Win/Loss and Pool Contribution form.

SECTION: 2. LICENSED CHARITY

2.8 CASINO EXPENSES

2.8.1 Licensed charities are responsible for the following expenses:

a) food and refreshments for volunteers while working at the casino;

b) cash cage advisor and count room advisor fees;

c) pool administration costs; and

d) any other expenses approved by the Board.

2.8.2 The following expenses must be paid in accordance with AGLC's approved methods of payment outlined in Section 4.4 of the Charitable Gaming Policies Handbook at the conclusion of the casino event: *(Amended Sep 2019)*

a) food and refreshment expenses for volunteers while they are working at the casino event, to a maximum of:

i) Edmonton, St. Albert and Calgary casinos: $1175 (GST included). *(Amended July, 2014)*

ii) All others: $705 (GST included). *(Amended July, 2014)*

b) Cash cage advisor fees to a maximum of:

i) Edmonton, St. Albert and Calgary: $1488/event (plus applicable taxes) plus $45/hour for each extra hour the table games are open longer than 14 hours/day (e.g. if table games are open for 16 hours on Day 1 and 17 hours on Day 2, an advisor may earn an extra 5 hours pay or $225). *(Amended January 2019, Amended July, 2014)*

ii) All others: $1074/event (plus applicable taxes) plus $45/hour for each extra hour the table games are open longer than 14 hours/day. *(Amended January 2019, Amended July, 2014)*

c) Count room advisor fees to a maximum of:

i) Edmonton, St. Albert and Calgary: $661 (plus applicable taxes). *(Amended January 2019)*

ii) All others: $578 (plus applicable taxes). *(Amended January 2019)*

2.8.3 Where casino net proceeds are insufficient to cover food and refreshment expenses and advisor fees, the casino facility licensee

will reimburse the charity for these costs. The casino facility licensee will be reimbursed for these costs through a reduction of the regular AGLC electronic funds transfer, which collects the net casino proceeds.

2.8.4 The pool administration costs and casino licence fees will be paid out of the pool by AGLC at the end of the pooling period, prior to the distribution of casino proceeds.

SECTION: 2. LICENSED CHARITY

2.9 CASINO POOLING

2.9.1 Casino pooling means the collection of all casino proceeds (see Subsection 2.2.2) (and/or losses) over a three month period of time (as specified in Subsection 2.9.3) from events held in a licensed facility or facilities. The proceeds are placed into two separate pools as follows:

Pool A - Table Game Proceeds: refers to the funds remaining after the payment of approved prizes and approved casino event expenses; and

Pool B - Commissions from Electronic Games: refers to the commissions paid to the licensed charitiesfrom electronic games played on slot machines (see Subsections 16.7.1 a) iii) and 16.7.1 b) iii)). *(Amended Apr 2018; Amended Jan 2015)*

2.9.2 Casino pools are administered by AGLC for the benefit of the licensed charities.

2.9.3 Licensed charities must pool casino proceeds (and/or losses) within the same pooling period as follows:

a) licensed charities conducting casinos in communities with two or more casino facility licensees must pool net casino proceeds (and/or losses) with all charities licensed in the same community within the same pooling period (Exception: Century Casino in Calgary does not pool its table game proceeds with other casinos in Calgary);

b) licensed charitiesconducting casinos in St. Albert and Camrose must pool net casino proceeds (and/or losses) with all charities within the same pooling period; and

c) licensed charitiesmust submit net casino proceeds to the casino facility licensee at the end of each casino event. The facility licensee must deposit the net casino proceeds the next business day. AGLC will obtain the net casino proceeds from the facility licensee through electronic funds transfer. AGLC will notify the casino facility licensee of the required amount of the transfer.

SECTION: 2. LICENSED CHARITY

2.9.4 The pooling period is the same as the quarterly casino draw period. Quarters are January-March, April-June, July-September and October-December.

2.9.5 After the pooling period is over, AGLC will provide each licensed charity with a statement of distribution of pooled funds. This statement will include the following information:

a) the total pooled funds received;

b) any re-imbursement of event losses;

c) the interest earned on pooled funds;

d) the final payments made to AGLC for the quarterly license fees and the pool administration costs;

e) GST payment to casino facility operator;

f) other adjustments as required;

g) the number of charity shares; and

h) the amount disbursed to each charity.

2.9.6 AGLC will deposit these funds to each charity's approved casino bank account through electronic funds transfer (EFT). If unable to make an EFT, AGLC will mail a cheque to the licensed charity for deposit to its approved casino bank account.

2.9.7 Advances to any licensed charity from the pool prior to the end of the pooling period are prohibited. *(Amended Jan. 2015)*

2.9.8 In the event Pool A is in a deficit position at the end of the pooling period, AGLC will administer the pool as follows:

a) applications from charities for reimbursement of food and refreshment expenses and advisor fees will be added to the overall pool deficit;

b) claims for the charities' portion of the float losses will be added to the pool deficit;

c) pool administration costs and licence fees will be added to the pool deficit; and

d) once the overall Pool A deficit has been calculated, the deficit will be offset by an equal amount from Pool B containing the

SECTION: 2. LICENSED CHARITY

commissions from electronic games played on slot machines accumulated during the pooling period. *(Amended Jan. 2015)*

Note: If the commissions from slot machines do not offset the deficit, each charity will be required to reimburse an equal share of the deficit to the pool. *(Amended Jan. 2015)*

SECTION: 2. LICENSED CHARITY

2.10 FINANCIAL REPORTS

2.10.1 A licensed charity is required to complete financial reports regarding the revenues and proceeds generated during its casino event.

2.10.2 A licensed charity will receive the required financial report forms to complete from AGLC. The licensed charity must complete and submit the required financial report within 60 days from the mail-out date, along with the supporting documents as indicated in the report. *(Amended July, 2014)*

2.10.3 The following information must be provided with the required financial report:

a) bank statements;

b) cancelled/imaged cheques; and

c) invoices/receipts.

2.10.4 All casino records are subject to review and/or audit by AGLC and must be maintained in a manner acceptable to AGLC. *(Amended July 2014)*

2.10.5 For more information, consult the Charitable Gaming Policies Handbook or contact AGLC at 1-800-272-8876 during regular business hours.

SECTION: 2. LICENSED CHARITY

2.11 CONSOLIDATED GAMING ACCOUNT

2.11.1 If a licensed charity has more than one gaming licence, it may open a consolidated gaming ccount for gaming proceeds.

2.11.2 A consolidated gaming account allows the licensed charity to:

a) make payments from one gaming bank account; and *(Amended Sep 2019)*

b) track the proceeds available for distribution more easily than under multiple accounts.

2.11.3 To open a consolidated gaming account, the licensed charity must:

a) open an account (entitled "consolidated gaming account") at a financial institution; and

b) notify AGLC of the financial institution, branch and account number of the consolidated gaming account.

2.11.4 Separate bank accounts must be maintained for each type of licensed gaming event (i.e., casino, raffle, pull ticket and for each bingo Location). These accounts are for deposits of revenue and payment of expenses related to each particular licence.

2.11.5 All payments from the consolidated gaming account for approved charitable or religious purposes must be in accordance with AGLC's approved methods of payment outlined in Section 4.4 of the Charitable Gaming Policies Handbook. *(Amended Sep 2019)*

2.11.6 Gaming proceeds must normally remain in the consolidated gaming account until spent on the approved uses. If not required immediately, gaming proceeds may:

a) be put into a separate interest account(s);

b) be used to purchase deposit certificate(s); or

c) if the group qualifies as a trustee under the *Trustee Act*, be invested subject to the conditions established for and applying to, investments by a trustee under the *Trustee Act*. To qualify to invest, AGLC will require a letter from the group's lawyer confirming the trustee qualification.

SECTION: 2. LICENSED CHARITY

d) if gaming proceeds are re-directed as stated in Subsection 2.11.6 a) to c), the following conditions apply:

i) investments made as stated in Subsection 2.11.6 a) and b) must be fully insured as defined in the *Canada Deposit Insurance Act*;

ii) the financial institution, account or deposit number, or details of other permitted investments and the total value of the funds proceeds transferred or invested must be identified on financial reports;

iii) all interest, dividends or other income earned becomes part of gaming proceeds and must be retained in the separate interest bearing account or must be retained as part of the investment if the income is in the form of shares or units; and

iv) when needed for approved uses, proceeds must be transferred back to the consolidated gaming account to be disbursed.

2.11.7 For more information, consult the Charitable Gaming Policies Handbook or contact AGLC at 1-800-272-8876 during regular business hours.

SECTION: 2. LICENSED CHARITY

2.12 AUDIT REQUIREMENTS

2.12.1 The books and records of licensed charities are subject to review and/or audit by AGLC and must be maintained in a manner acceptable to AGLC.

2.12.2 The areas normally subject to audit will include, but not be limited to:

a) books of original entry (including computerized records);

b) invoices;

c) bank statements and cancelled cheques;

d) event control and summary sheets;

e) contracts, agreements or similar documents;

f) Income Tax and Goods and Services Tax returns;

g) minutes of annual general meetings, and meetings of general membership, board and executive;

h) external accountant's/auditor's working paper files;

i) annual (audited) financial statements; and

j) business and financial records (as outlined above) of any entity (including but not limited to societies, non-profit organizations, associations, community leagues, corporations, partnerships, limited partnerships, joint ventures, proprietorships, etc.) that is related to the licensed charity and/or an executive or board member of the licensed charity that is in receipt of any of the licensed charity's gaming funds either directly, indirectly or through a series of transactions.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.1 ELIGIBILITY REQUIREMENTS

3.1.1 Eligibility requirements for volunteer staff or charity workers are as follows:

a) Only bona fide members of the licensed charity or employees of a First Nation Charity shall work in the positions of general manager, banker, cashier, count room supervisor or advisor (when performed by a volunteer). The licensed charity may use non-members, on a volunteer basis, to fill other positions as required. Licensed charities whose members are disabled may accept outside volunteer help for all positions.

b) Charity workers must be registered with AGLC and may only work at First Nation casinos.

c) Charity workers' wages shall be subject to AGLC approval.

d) All volunteer staff and charity workers must be 18 years of age or older.

e) A person may not be eligible to work in a casino if the person:

i) has, within the five years prior to the submission of the application, been charged with or convicted of:

- an offence under the *Criminal Code* (Canada), the *Excise Act* (Canada), the *Food and Drugs Act* (Canada) or the *Controlled Drugs and Substances Act* (Canada), or
- an offence under a foreign Act or regulation that, in the Board's opinion, is substantially similar to an offence referred to in Subclause i);

ii) has, at any time, been charged with or convicted of:

- an offence under the *Criminal Code* (Canada), the *Excise Act* (Canada), the *Food and Drugs Act* (Canada) or the *Controlled Drugs and Substances Act* (Canada);
- an offence under a foreign Act or regulation that, in the Board's opinion, is substantially similar to an offence referred to in Subclause ii),

SECTION: 3. VOLUNTEER/CHARITY WORKERS

if in the Board's opinion the offence is sufficiently serious that it may detract from the integrity with which gaming activities or provincial lotteries are to be conducted in Alberta; or

iii) has, within the five years prior to the submission of the application, been serving a term of imprisonment of three years or more.

3.1.2 A minimum of 25 volunteers are required for a 16-50 game casino. A minimum of 15 volunteers are required for a 15 game or less casino. Volunteers or charity workers are required to fill the following positions:

a) general manager(s) and alternate;

b) banker;

c) cashier;

d) chip runner;

e) count room supervisor; and

f) count room staff (5).

3.1.3 Paid staff of the licensed group can work any position, provided:

a) they are bona fide members of the licensed charity;

b) they volunteer their services outside normal working hours; and

c) they do not fill the following positions:

i) general manager;

ii) alternate general manager;

iii) banker; or

iv) count room supervisor.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.2 CONDUCT

3.2.1 Volunteers working a licensed casino event must not be paid cash from casino proceeds, or from any other source of revenue, for their services. This includes, but is not limited to:

a) cash payments;

b) casino licensee "vouchers" that can be exchanged for cash; and

c) receiving money, goods or services for personal use, from individuals which provide premises, services, equipment or supplies to events sponsored by the volunteer's group.

3.2.2 Volunteers working a licensed casino event may receive credits to help offset the cost of participating in the approved charitable program conducted by the licensee including eligible:

a) membership, registration, competition, affiliation or insurance fees to tournaments or competitions, or to local, provincial, national or international governing bodies when the fees are related to a group's specific charitable objectives, and individual members of the group do not also pay the fee; and/or

b) travel expenses.

3.2.3 The credits must not:

a) exceed 10 per cent of the casino proceeds generated per casino licence;

b) be redeemable for any form of payment listed in Subsection 3.2.1; and/or

c) be used for any social or recreational purposes or any purposes not listed in Subsection 3.2.2.

3.2.4 The charitable group may transfer the credits earned from working an event:

a) to other members of the licensed group; or

b) to individuals who are beneficiaries of the group's programs (e.g., an amateur athlete participating in a structured and developmental sport); or

c) to another AGLC licensed group. Transfers of $5,000 or more, to other licensed groups, require prior AGLC approval.

3.2.5 The group issuing the credits must maintain records of the credits. The records are subject to review by AGLC, and must include a ledger with the following information:

a) the names of the volunteers earning the credits;

b) whether the volunteer is a member or non-member of the group;

c) the dates the volunteer earned the credits;

d) the credit and cash value of the credits;

e) the date the credits were issued, redeemed or transferred;

f) the purpose(s) for which the credits were redeemed (if applicable); and

g) the name of the payee to whom the cheque was written.

3.2.6 Groups transferring credits to other licensees must issue a volunteer credit receipt as a means of exchange. The volunteer credit receipt must include the following information:

<u>Group providing the credits/issuing the volunteer credit receipt</u>

a) the name of the licensed group;

b) the serial number;

c) the date of issuance;

d) the credit and cash value of the volunteer credit receipt;

e) the name and telephone number of the person the volunteer credit receipt was issued to;

f) whether the recipient is a member or non-member of the group issuing the volunteer credit receipt;

g) the expiry date (not to exceed one year from date of issuance);

h) an authorizing signature verifying the information is correct; and

i) the name of the licensed group receiving or redeeming the credits;

Group receiving the credits

j) the redemption date;

k) the redemption purpose;

l) an authorizing signature verifying the information is correct; and

m) the name and account number of the gaming account to which the payment was deposited.

3.2.2 – 3.2.6: Amended, Jan. 2014

3.2.7 The group issuing the credits must retain the information in Subsection 3.2.6a) to i), and provide it to AGLC upon request. The group receiving the credits must retain the information in Subsection 3.2.6 j) to m), and provide it to AGLC upon request. All credits earned, received and redeemed must be reported separately on the group's gaming financial report.

3.2.8 Transfers must be made from one gaming account to another gaming account.

3.2.9 A volunteer credit system is not an eligible charitable program.

3.2.10 Groups cannot make it compulsory to volunteer at casino events. Additionally, all volunteers must be given equal opportunity to earn credits by volunteering at casino events.

3.2.7 – 3.2.10: Added, Jan. 2014

3.2.11 All volunteer staff and charity workers must report to the general manager and ensure their printed name, signature, position and date and time of shift are recorded on the Casino Volunteer/Charity Worker Approval and Sign-In form before starting their shift.

3.2.12 Volunteer staff and charity workers must work only in positions specified on the Casino Volunteer/Charity Worker Approval and Sign-In form.

3.2.13 No volunteer staff shall work more than one position during the casino licence period except: *(Amended Apr 2020)*

a) the general manager may assign a count room worker to witness table closing chip counts. This must not interfere with count room duties; and

b) in casinos outside of Edmonton, Calgary and St. Albert those individuals assuming the positions of banker, cashier and chip runner may, once their cash cage duties have been concluded, also work in the various count room positions; the one exception being the banker, who must not be allowed to assume the position of count room supervisor.

3.2.14 Volunteer staff and charity workers must wear a name badge while on duty showing first or common name, position, and date of casino.

3.2.15 All volunteer staff and charity workers are prohibited from playing casino games or gaming terminals (including slot machines and VLTs) where they are working for the duration of their licensed charity's event.

3.2.16 Volunteer staff and charity workers must not use or be under the influence of liquor, cannabis or illegal drugs at a casino event. Any use of prescription (including cannabis for medical purposes) or off-the-shelf medications while working a casino event must be consistent with the casino facility licensee's policies regarding their use and must not interfere with the ability of volunteer staff and charity workers to perform their duties. *(Amended Oct 2018; Amended Jan 2018)*

3.2.17 Volunteer staff and charity workers are prohibited from cashing cheques or extending credit.

3.2.18 Personal possession of chips by volunteer staff and charity workers is prohibited and must be reported immediately to AGLC by the general manager.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.3 GENERAL MANAGER AND ALTERNATE GENERAL MANAGER

3.3.1 The general manager is responsible for all aspects of the casino.

3.3.2 In consultation with the games manager, the general manager shall ensure the casino is conducted in accordance with the CTCOG.

3.3.3 An alternate general manager shall be on duty in the general manager's absence.

3.3.4 The general manager duties are as follows:

a) Operational Functions:

i) enters the appropriate information from the licence into the CasinoTrack system;

ii) ensures all volunteer staff (excluding count room staff) are in the casino facility a minimum of one hour prior to casino opening;

iii) ensures the count room staff are present a minimum of 15 minutes prior to scheduled start of shift;

iv) ensures the names of all volunteer staff are entered into the CasinoTrack system;

v) ensures designated volunteer staff is in place and have signed in at the beginning of shift and signed out at end of shift with system access cards on the CasinoTrack system;

vi) witnesses interim and final pull of drop boxes;

vii) may perform duties of other volunteer staff or charity workers on a temporary basis (no longer than one hour) as long as all procedures for the position are followed, e.g. assuming duties of other volunteer staff to allow them to take a break or eat a meal;

viii) may fill a position that becomes vacant due to unforeseen circumstances (shall be documented on a Discrepancy Report);

ix) may assign another volunteer or charity worker to fill a vacant position for the duration of the licence period; (shall be documented on a Discrepancy Report) and

x) sign all Discrepancy Reports in addition to the advisor or the games manager.

b) Financial Transactions:

i) counts and verifies the opening cash bankroll and the opening chip inventory received from the casino facility licensee or his designate each day;

ii) witnesses transfer of cash from count room supervisor to banker;

iii) ensures closing cage bankroll, next day's opening float and chips are in secure overnight storage;

iv) ensures the casino facility licensee or designate provides a cheque at the end of the event for the cost of the advisor fees and concession fees;

v) ensures all financial transaction entries into the CasinoTrack system are completed as required;

vi) investigates fully any error, procedural irregularity or other breach of CTCOG and reports to AGLC (refer to Section 5.8);

vii) reports immediately to AGLC's investigation branch any volunteer in personal possession of casino chips; and

viii) returns remaining chips to the casino facility licensee or designate and enters the information on the CasinoTrack system;

ix) returns and signs, after the close of the event, to the casino facility licensee or his designate, cash equal to the opening cash bankroll received the morning of each day; and

x) after the conclusion of all related tasks, all cash including the opening bankroll and the event proceeds are to be returned to the casino facility licensee. Verification of the return of this cash is to be obtained from the casino facility licensee's designated individual.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

c) Security:

i) ensures secure handling and storage of chips and cash at all times during the casino event.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.4 BANKER

3.4.1 The banker supervises the cash cage and is directly accountable to the general manager.

3.4.2 *(Deleted Aug 2019)*

3.4.3 Specific duties of the banker are as follows:

a) documents all transactions as required and ensures security of all chips and cash in cash cage;

b) ensures cashiers retain personal control of chips and cash for which they are responsible while on duty;

c) receives and counts opening cash bankroll and chip inventory with the general manager;

d) records and maintains a running inventory of the cash bankroll and the chip inventory:

e) issues opening inventory of chips to games where required;

f) documents transactions as required and maintains security and control of chips/coin inventory during shift;

g) supplies games with chips/coin as requested on CasinoTrack system;

h) receives excess chips/coin from games as requested on CasinoTrack system;

i) issues opening cash fill and subsequent cash fills to cashiers;

j) obtains cash transfers from the count room supervisor as required;

k) receives inventory of chips/cash from cashiers;

l) counts, amalgamates and records all chips and cash in cash cage at the end of the day;

m) returns remaining chips to the facility operator at the end of the day and enters information on the CasinoTrack system;

n) at the end of the day, transfers cash to general manager for secure overnight storage or transfer to casino facility licensee.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.5 CASHIER

3.5.1 The cashier duties are as follows:

a) receives and counts opening cash fill from the banker;

b) maintains security of the cash and chips for which he or she is responsible while on duty in the cash cage;

c) redeems players' chips for cash;

d) ensures the general manager, banker or advisor witnesses all player cash-outs over $200;

e) ensures trays are put in cash drawers and the drawers are locked when leaving cash cage; and

f) at the end of a shift, accounts for and transfers all chips and cash for which he or she is responsible to the banker.

3.5.2 The cashier must not:

a) sell chips;

b) exchange U.S. currency for chips or cash; and

c) exchange traveller's cheques for chips or cash.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.6 CHIP RUNNER

3.6.1 The chip runner duties are as follows:

a) participates in games opening and closing with gaming table personnel;

b) transfers fills from the banker to games and credits from games to banker;

c) verifies the accuracy of these transactions;

d) at final close of games each day, witnesses chip count and verifies on the CasinoTrack system; and

e) may assist the general manager during pull of drop boxes.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.7 COUNT ROOM SUPERVISOR

3.7.1 The count room supervisor is directly accountable to the general manager for supervision of count room procedures and count room staff.

3.7.2 The count room supervisor shall document all transactions as required and ensure security of all cash and chips in the count room.

3.7.3 Specific duties of the count room supervisor are as follows:

a) ensures count room is secured;

b) records the table number from the "Box ID Card" and the number of bills, coins and chips (if any) counted by the amalgamator, on the CasinoTrack system; *(Amended Aug 2019)*

c) verifies the information entered by the recorder;

d) supplies cash to banker as required;

e) ensures the rake boxes are counted first and chips are transferred to banker before continuing the count; and

f) generates Master Revenue Report and Count Room Drop Box Verification on CasinoTrack system.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.8 SORTER

3.8.1 The duties of the sorter are as follows:

a) empties the contents of the drop box and shows open box to camera to ensure it is empty;

b) sorts cash or chips into denominations and places into money bin with a “Box ID Card” and passes bin to counter.

c) witnesses count by counter; and

d) at final close of games, may witness table chip count, if required.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.9 COUNTER

3.9.1 The duties of the counter are as follows:

a) counts the contents of the money bin using money counting machine;

b) passes the "Box ID Card" and the counted bills, by denomination, from the drop box across the table to the amalgamator; and *(Amended Aug 2019)*

c) assists sorting of chips and cash as needed.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.10 RECORDER

3.10.1 The duties of the recorder are as follows:

a) enters the table number from the "Box ID card" into the CasinoTrack system; and

b) enters the number of bills, coins and chips (if any) counted by the counter into the CasinoTrack system.

SECTION: 3. VOLUNTEER/CHARITY WORKERS

3.11 AMALGAMATOR

3.11.1 The duties of the amalgamator are as follows:

a) receives cash or chips from counter; *(Amended Aug 2019)*

b) verifies all bills are of the same denomination;

c) uses a counting machine to verify contents of the drop box and advises count room supervisor of the amount by denomination; and *(Amended Aug 2019)*

d) amalgamates all cash or chips in the count room by denomination into bundles of one hundred after receiving confirmation from the count room supervisor that the totals from both counts match.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.1 BASIC REQUIREMENTS

4.1.1 *(Deleted Aug 2020)*

4.1.2 Each casino facility must have the following:

a) Gaming Areas:

i) gaming floor dedicated to the conduct of games;

b) Public Non-gaming Areas:

i) main entrance foyer/lobby clearly set apart from gaming areas in the casino facility;

ii) bar/lounge, excluding floor space allocated for the operation of gaming terminals, meeting the requirements of a Class A Minors Prohibited licence as set forth in AGLC's Licensee Handbook; *(Amended Jan 2015)*

iii) full menu, licensed restaurant with table service and fully-equipped kitchen(s) operating during the casino facility's operating hours up to 11:00 pm, and afterwards providing a menu under the food service requirements of a Class A Minors Prohibited licence as set forth in AGLC's Licensee Handbook; and

iv) space for a GameSense Information Centre. AGLC is responsible for the installation, staffing and operation of these centres. *(Amended Oct 2015; Added Aug 2013)*

c) Restricted non-gaming areas (restricted to authorized personnel, charity workers and/or volunteers):

i) volunteer or charity worker table game cash cage;

ii) slot cash cage/hard count room;

iii) a cashier area for VLTs, if applicable (can be combined with the slot cash cage); *(Added Jan 2015)*

iv) volunteer or charity worker table game count room;

v) slot soft count room;

vi) as an option to iv) and v) above, a room used both as a volunteer table count room and slot soft count room;

vii) security desk;

viii) monitor room (see Section 5.6 regarding the optional off-site monitor room);

ix) volunteer lounge (required only for facilities which use volunteer charity workers);

x) *(Deleted Aug 2020)*

xi) *(Deleted Aug 2020)*

xii) room for security staff and equipment;

xiii) secure CCTV viewing room independent of the monitor room;

xiv) chip storage area;

xv) vault/safe;

xvi) communications equipment room/technician room;

xvii) access to training room(s) on or off the casino facility site; and

xviii) *(Deleted Aug 2020)*

xix) AGLC server room(s), which must include: *(Added Jan 2017)*

- steel clad (or equivalent) entry doors with viewer and tamper resistant hinges (if hinges are exposed outside of server room);
- deadbolt locking mechanisms with minimum one inch deadbolt;
- secured, non-transparent windows (if applicable);
- dedicated fulltime CCTV camera coverage of all external doorways and any window areas that must capture clear identifiable footage of all persons entering and exiting server rooms;
- an uninterrupted power supply (UPS);
- a fire suppression system, fire alarms and proper rated fire extinguishers;
- water detection sensors;

- a card lock system or a key lock system, having all keys stamped "DO NOT DUPLICATE" or be the "ABLOY" type; and
- a heating, ventilation, and air conditioning (HVAC) system(s) with adjustable thermostat to maintain the ambient server room environment within a range of 20 to 24 degrees Celsius and 45 to 55 per cent relative humidity. *(Added Apr 2018)*

4.1.3 Each casino must have a ceiling height of at least 14 feet in gaming areas. Poker room canopies, feature ceilings or areas aimed at creating atmosphere and transition areas must have a ceiling height of at least 11 feet.

Note: The ceiling heights of casino facilities operating as of October 22, 2001, are grandfathered, and must comply with this term and condition if the existing facility undergoes major renovations or is relocated.

4.1.4 Casinos must have floor to ceiling common and exterior walls. *(Amended Jan 2020)*

4.1.5 Each casino must have:

a) adequate lighting within the facility for the safety of patrons and staff, and to allow for proper viewing by security cameras during casino operating hours;

b) an uninterrupted power supply (UPS) for surveillance equipment, lighting in the facility, monitor room equipment, and network computer in the communications equipment room. The load requirement will vary based on the casino's size and type of equipment used;

c) steel doors and steel frames for all surveillance and monitoring rooms, cash cages, and count rooms; and

d) any other requirements as provided for in this section or other sections of these CTCOG.

4.1.6 Facility licensees planning to undertake renovations or structural changes must contact AGLC and present plans of the proposed change and obtain approval before making any changes. Approval of renovations will be based on the following criteria:

a) the maximum increase in total gaming floor space must not exceed 25 per cent of the existing gaming floor space;

b) *(Deleted Jan 2020)*

c) a full GameSense Information Centre location agreeable to AGLC. *(Amended Oct 2015; Added Aug 2013)*

d) renovations must be within the existing building envelope (see subsection 15.2.1 for definition of building envelope);

e) renovation requests that include additional electronics or table games will be based upon:

i) consumer demand and consideration of regional market conditions (see Subsection 13.1.12 a) i) regarding allocations of additional gaming terminals); and *(Amended Jan 2015)*

ii) for First Nation casino facilities, the additional facility standards outlined in Subsection 16.2.5 e).

4.1.7 Casino facility licensees must provide:

a) all required casino gaming equipment;

b) operating floats, appropriate to the casino gaming volume, to be used by the licensed charity;

c) chip inventory appropriate to the casino gaming volume. Chips must be clearly labelled as to denomination and must be unique for each facility;

d) registered gaming workers as required in Section 6;

e) playing cards as set out in Section 9.7;

f) surveillance equipment as detailed in Section 5;

g) a cash counting machine for both the cash cage and count room;

h) armoured car service;

i) insurance;

j) advertising and promotions (optional);

k) administration services; and

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

l) all other equipment or services deemed necessary by AGLC.

4.1.8 Casino facility licensees are responsible for ensuring charities obtain a copy of the final pit staff shift schedule, Pit Supervisor's Games Report and all Discrepancy Reports.

4.1.9 *(Deleted Aug 2020)*

4.1.10 *(Deleted Jan 2020)*

4.1.11 Casino facility licensees must complete the Alberta Progressive Jackpot Receipt Form (Form 6593) for local area and stand alone progressive wins over $25,000.00 and all wide area progressive jackpot wins. One copy of the form must be provided to the jackpot winner and another to AGLC.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.2 MINIMUM SIZES

4.2.1 For a major casino with 16 or more table games and slot machines at a number allocated by AGLC, the following minimum floor square footage apply:

a) gaming floor, including slot room(s), – 20,000 square feet;

b) volunteer table game cash cage – 300 square feet;

c) volunteer table game count room containing a minimum 4 feet by 10 feet count table to accommodate CasinoTrack – 300 square feet;

d) slot cash cage/hard count room - 350 square feet; and

e) slot soft count room - 300 square feet;

f) as an option to c) and e), a combined volunteer table game count room and slot soft count room – 550 square feet (when using this option two separate designated work surfaces must be supplied);

g) slot machine – 25 square feet per slot;

h) VLT – 25 square feet per VLT; *(Added Jan. 2015)*

i) poker table - 200 square feet per table;

j) games tables (back to back) including pit and transition areas - 300 square feet;

k) communications equipment room/technician room – 150 square feet;

l) *(Deleted Jan 2020)*

m) GameSense Information Centre – 120 square feet. *(Added Aug., 2013; Amended Oct 2015)*

4.2.2 For minor casinos with less than 16 table games and slot machines at a number allocated by AGLC, the following minimum floor square footage apply:

a) gaming floor including table games area and slot room – 6,000 to 20,000 square feet;

b) volunteer table game cash cage – 150 square feet;

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

c) volunteer table game count room containing a minimum 4 feet by 10 feet count table to accommodate CasinoTrack – 200 square feet;

d) slot cash cage/hard count room – 250 square feet;

e) slot soft count room – 230 square feet;

f) as an option to c) and e), a combined volunteer table game count room and slot soft count room – 400 square feet;

g) slot machine – 25 square feet per slot;

h) VLT – 25 square feet per VLT; *(Added Jan. 2015)*

i) poker table – 200 square feet per table;

j) games tables (back to back) including pit and transition areas - 300 square feet;

k) communications equipment room/technician room – 150 square feet;

l) *(Deleted Jan 2020)*

m) GameSense Information Centre – 120 square feet. *(Added Aug. 2013; Amended Oct 2015)*

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.3 COMMUNITY STANDARDS

4.3.1 Each casino facility shall:

a) reflect the concerns of the community in which it is located;

b) not have a significant impact on existing gaming facilities resulting in serious financial risk to the continued operation of the charitable gaming facility and to the charities that conduct licensed gaming in the facility; and

c) not be located within the same building envelope as an existing casino facility.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.4 LEGISLATIVE AND POLICY COMPLIANCE

4.4.1 No casino facility licence may be issued to an applicant unless the applicant has complied with:

a) all municipal, provincial and federal legislation and obtained all the necessary permits, licences and authorizations; and

b) Board policies.

4.4.2 A casino facility licence may be issued based on confirmation of satisfactory legislative compliance.

4.4.3 A casino facility licence may be suspended or cancelled if the licensee fails to comply with the requirements of Subsection 4.4.1.

4.4.4 A casino facility licensee is responsible for ensuring:

a) the licensed casino facility is operated and maintained in accordance with the *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation and all Board policies including those detailed in this handbook;

b) that registered gaming workers meet the requirements of their position as defined in Section 6 – Registered Gaming Workers;

c) that registered gaming workers conduct all games in accordance with the casino facility licensee's rules of play and Section 9 of the CTCOG; and *(Amended Jan 2021)*

d) any conditions placed on a patron in accordance with Section 18 are adhered to. *(Added Aug 2017)*

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.5 LIQUOR SERVICE IN LICENSED CASINO FACILITIES

4.5.1 Licensees must comply with legislation, AGLC policy and procedures pertaining to liquor:

a) the liquor licence may be held by the casino facility licensee or the licensee of a licensed premises that has direct access to the casino facility;

b) facility licensees will not permit a person apparently intoxicated by liquor or a drug to take part in a gaming activity or provincial lottery that is conducted in the licensed facility;

c) liquor licensees and casino facility licensees are jointly responsible for not serving intoxicated patrons; incident reports for over service will be submitted on the liquor licensee;

d) if minors are found in possession of liquor, or liquor is served to minors, an incident report would be submitted on the casino facility licensee, as the licensee controls access of minors;

e) volunteers and hired employees are not allowed to consume liquor during their scheduled shift;

f) no liquor possession or consumption is permitted in gaming pits, cash cages, count rooms, volunteer and staff rooms;

g) *(Deleted Jan 2020)*

h) *(Deleted Jan 2020)*

i) food service must be available to patrons in accordance with the liquor licence.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.6 SIGNAGE REQUIREMENTS

4.6.1 The casino facility licensee shall post in a prominent place in the licensed facility, the following signage:

a) the casino facility licence;

b) the licensed charity's casino licence;

c) the casino facility licensee's general house rules;

d) the casino facility licensee's house rules for each game;

e) "If you gamble, use your GameSense" (responsible gambling poster); *(Amended Apr 2016)*

f) "Your games. Your choice." (VLT rules of play and gaming irregularities poster); *(Amended Apr 2016)*

g) "GameSense Self-Exclusion" poster; *(Amended Oct 2017; Added Apr 2016)*

h) the Video Surveillance poster;

i) a "No Minors Allowed" sign (on the exterior of each entrance);

j) "The Collection of Your Personal Information" (anti-money laundering (AML) poster); *(Added Apr 2016)* and

k) any other document or information that AGLC requires to be posted.

4.6.2 The "house rules" poster for each game must detail the rules for each type of game offered in the casino (e.g., Caribbean Stud, blackjack, roulette, poker, etc.).

4.6.3 Each game must have a sign prominently posted displaying the following:

a) betting limits; and

b) table number (minimum 5 cm in height) which is to be visible at all times by surveillance equipment.

4.6.4 Where alterable betting limits are used, signs must be posted on each table identifying the following: (see Section 9.5)

a) that the table has alterable betting limits;

b) each of the betting limits which may apply; and

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

c) amount of notice time to be given before betting changes may be made.

4.6.5 Poker games must have signs posted advising the following:

a) amount of rake for each type of game;

b) betting limits for each game;

c) amount of ante, blind bet(s) and being-in;

d) any specific house rules for each type of game; and

e) house rules with regards to seating and moving of players.

f) *(Deleted Jan 2021)*

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.7 CASINO GAMES INTEGRITY

4.7.1 Casino facility licensees shall not compensate any individual either directly or indirectly, to influence other patrons to play or change their action(s) at any of the games. *(Amended Jan 2020)*

4.7.2 Casino facility licensees and registered gaming workers shall not financially endorse the playing of casino games by any individual nor are they to receive direct or indirect benefit from players winning at any game with the exception of tips given to the dealers at table games.

4.7.3 Casino facility licensees are responsible for checking and verifying potential gaming workers' photo identification to confirm the worker's identity. The facility licensee is required to document the verification of the photo identification, along with the identification type and number (if applicable), on the applicant's personnel file. This information must be made available to AGLC upon request. Acceptable forms of identification include an Alberta Operator's Licence, Alberta Identification Card, Passport, Armed Forces Identification Card, Certification of Indian Status Card, Canadian Citizenship Card, Permanent Resident Card and comparable, government-issued photograph identification from other jurisdictions.

4.7.4 Casino facility licensees will facilitate the participation of registered gaming workers or any other staff they employ to assist with any AGLC or police investigation. This includes: *(Amended Jan 2020)*

a) for all incidents requiring a Discrepancy Report, that each individual involved, pit supervisor, pit boss, dealer, etc. complete a separate and detailed report;

b) cooperating with AGLC inspectors and police when requested to do so;

c) reporting to AGLC immediately any and all suspicious activity, evidence of cheating at play, theft, or other criminal offences;

d) contacting AGLC or police prior to conducting an internal investigation which may involve criminal activity;

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

any unexplained monetary discrepancies of $ 500 or more shall be reported to AGLC within 24 hours via fax to St. Albert 780-447-8914 or to Calgary at 403-292-7354; and *(Amended Jan 2020)*

e) immediately securing any materials which could potentially be used as evidence (i.e. playing cards, marking instruments) and keeping the material secure until handed over to an AGLC inspector or police officer.

4.7.5 *(Deleted Jan 2020)*

4.7.6 A casino facility licensee shall not permit the following individuals to enter or remain in the casino facility:

a) individuals under 18 years of age; and

b) individuals as specified in Section 1.26 Banned Entry (Access Management). *(Amended Jan 2020)*

c) *(Deleted Jan 2020)*

4.7.7 A casino facility licensee cannot promote or recommend the services of an advisor.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.8 CASINO FACILITY LICENCE

4.8.1 The Board may issue a casino facility licence for a period of up to six years, as specified on the licence.

4.8.2 The licence fee for a casino facility is $500 per year (i.e. if a six year licence is issued the fee would be $3,000). This fee shall be submitted prior to a new facility licence being issued. If the licence period is other than an entire year(s) the fee will be prorated accordingly.

4.8.3 An "applicant" referred to in this section includes a casino facility licensee that is applying for a new casino facility licence for the existing licensed facility. *(Added Mar 2016)*

4.8.4 An applicant will be contacted by AGLC at least 180 days prior to the expiration of an existing casino facility licence. Such applicants must submit the Licence/Registration Application Package by the indicated deadline. *(Added Mar 2016)*

4.8.5 Applications are subject to review and approval by the Board. The applicant is responsible to pay for the actual cost of the background checks pursuant to section 28 of the Gaming, Liquor and Cannabis Regulation. *(Amended Mar 2016)*

4.8.6 The Licence/Registration Application Package consists of the following:

a) Applicant Disclosure (Form 5553);

b) Associated Applicant Disclosure (Form 5554);

c) Personal Applicant Disclosure (Form 5561); and

d) $10,000 deposit or another specified amount to cover the cost of the background checks pursuant to section 28 of the Gaming, Liquor and Cannabis Regulation. *(Amended Mar 2016)*

4.8.7 AGLC will open a background check maintenance file after the issuance of a casino facility licence. This will include, but is not limited to: *(Amended Mar 2016)*

a) ensuring that the background check file information is current and to obtain updated financial information, including annual audited financial statements. AGLC may also request additional information as deemed necessary;

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

b) monitoring financial covenants including debt to equity ratio of not greater than 2.5 and the minimum continuing net working capital position (MCNWCP). MCNWCP is defined to be, at minimum, the sum of necessary casino cash floats and one month's interest expense, direct costs, operating expenses payable to third parties, and trust or restricted funds less contra accounts or have sufficient credit facilities in place to cover any shortfalls that may occur;

c) annual indices updates as deemed necessary by AGLC on all individuals who have provided personal disclosures; and

d) AGLC may request updated information relating to any associated entity or individual associated with the applicant.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.9 BACKGROUND CHECKS

4.9.1 A thorough background check is conducted on an applicant, the applicant's associates and any key employees of the applicant as defined by AGLC pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation and Subsection 1.19.5. *(Amended May 2017; Amended Mar 2016)*

4.9.2 The background check is to ensure criminal interests, or those who otherwise would be a detriment to the integrity or lawful conduct of gaming in the province, are prevented from operating, having a financial interest in or having an association with a casino facility licence. *(Amended Mar 2016)*

4.9.3 An applicant's key employees include individual(s) that exercise influence or control over day to day operations or decision-making and individuals who have the authority to hire or terminate the employment of registered gaming workers, and include but are not limited to: *(Amended May 2017; Amended Mar 2016)*

a) individuals employed in senior management positions such as CEO, CFO, controller and senior compliance officers;

b) the manager of the facility;

c) security management staff; and

d) a person holding a position specified by AGLC as related to the business; and

e) any other person holding a key position as determined by AGLC.

4.9.4 An applicant's associates include:

a) any person that has a financial interest in the applicant, in the applicant's business, or in the facility or premises to which the application relates and the spouse of the person or a person with whom the person is living in a relationship of interdependence;

b) if the applicant is an individual or partnership in which one or more of the partners is an individual, this also includes:

i) the spouse of the individual or a person with whom the individual is living in a relationship of interdependence;

ii) any relative of the individual and of the spouse or person referred to in Subclause i) if the relative resides with the individual, spouse or person;

iii) any corporation controlled by the individual;

iv) an officer or director of, and any person with a financial interest in, a corporation controlled by the individual, and the spouse of the officer, director or person or a person with whom the officer, director or person is living in a relationship of interdependence; and

v) any corporation that is affiliated with the corporation referred to in Subclause iv), the affiliated corporation's officers and directors, and any person having a financial interest in the affiliated corporation, and the spouse of the officer, director or person or a person with whom the officer, director or person is living in a relationship of interdependence; and

c) if the applicant is a corporation or a partnership in which one or more of the partners is a corporation,

i) an officer or director of the corporation;

ii) the spouse of the officer or director of the corporation or a person with whom the officer or director is living in a relationship of interdependence;

iii) any relative of the officer or director referred to in Subclause i) and any relative of the spouse or of a person referred to in Subclause ii), if the relative resides with the officer, director, spouse or person;

iv) any corporation affiliated with the applicant;

v) an officer or director of an affiliated corporation and the spouse of the officer or director of an affiliated corporation or a person with whom the officer or director is living in a relationship of interdependence; and

vi) any person who has a financial interest in the affiliated corporation and the spouse of the person or a person with whom the person is living in a relationship of interdependence.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.9.5 A corporation is controlled by a person or by a First Nation, if he or she has indirect influence over the corporation or if:

a) securities of the corporation to which are attached more than 50 per cent of the votes that may be cast to elect directors of the corporation are controlled, other than by way of security only, directly or indirectly by the person or entity; and the votes attached to those securities are sufficient, if exercised, to elect a majority of the directors of the corporation; or

b) the person has in relation to the corporation any direct or indirect influence which, if exercised, would result in control in fact of the corporation.

4.9.6 A corporation is affiliated with another corporation if:

a) one of the corporations controls the other; or

b) both of the corporations are controlled by the same person or group of persons, or by a First Nation.

4.9.7 A relative of a person means any other person who is connected to that person:

a) by blood relationship;

b) by adoption;

c) by marriage;

d) by virtue of an adult relationship of interdependence (as defined in the *Adult Interdependent Relationships Act*).

4.9.8 AGLC may refuse to allow an applicant to have a casino facility licence if, in its opinion, the applicant has misled AGLC or provided inaccurate or incomplete information. *(Amended Mar 2016)*

4.9.9 The applicant shall ensure that it, and all other parties to the application for a casino facility licence submit all documents or provide information as requested by AGLC and deemed necessary to complete the background checks within the time frame specified in the document or information request. Failure to submit the documents or information within the time frame specified may result in sanctions as determined by the Board up to and including the termination of the casino facility licence. *(Amended Mar 2016)*

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.9.10 AGLC may refuse to issue a casino facility licence, or may terminate a casino facility licence if AGLC is satisfied the applicant, any of the applicant's key employees or associates, or any person or entity connected to or associated with the applicant: *(Amended May 2017; Amended Mar 2016)*

a) is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person;

b) would be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries; or

c) is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta.

d) has, within the five years prior to being notified by AGLC of their eligibility for a casino facility licence:

i) contravened the *Gaming, Liquor and Cannabis Act* or the Gaming, Liquor and Cannabis Regulation; *(Amended Aug 2019)*

ii) contravened a predecessor of the Act or the Regulation;

iii) contravened a condition imposed on a licence or registration issued or made under the Act or a predecessor of the *Gaming, Liquor and Cannabis* Act; or *(Amended Aug 2019)*

iv) fails to pass a records check as outlined in section 10 of the Gaming, Liquor and Cannabis Regulation.

e) If within five years prior to being notified by AGLC of eligibility for a casino facility licence, a licence or registration issued or made under the *Gaming, Liquor and Cannabis Act* or predecessor of the Act or a foreign licence or registration of the applicant, any of the applicant's key employees or any of the applicant's associates has been cancelled by the issuing authority. *(Amended Aug 2019)*

4.9.11 Notwithstanding Subsections 4.9.1 through 4.9.10, AGLC may refuse to allow an applicant to have a casino facility licence. *(Amended Mar 2016)*

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

SALE/PURCHASE OF CASINO FACILITIES

4.10.1 A casino facility licence is cancelled when a person sells, assigns or transfers the licence pursuant to section 30.1 of the Gaming, Liquor and Cannabis Regulation. *(Amended Mar 2016)*

4.10.2 The casino facility licence is cancelled where:

a) there is a sale, assignment or transfer of a portion of the business under which the activities authorized by a casino facility licence are carried out, and

b) the sale, assignment or transfer results in a change in control of the business.

4.10.3 Pursuant to section 30.2(1) of the Gaming, Liquor and Cannabis Regulation, a proposed sale, assignment or transfer of a portion of a business: *(Amended Mar 2016)*

a) that is a sole proprietorship, a partnership or a corporation that is not a distributing corporation as defined in the *Business Corporations Act*; and

b) under which the activities authorized by a casino facility licence are carried out;

must be reported to AGLC by the casino facility licensee and must be approved by the Board prior to the effective date of the sale, assignment or transfer.

4.10.4 Pursuant to section 30.2(2) of the Gaming, Liquor and Cannabis Regulation, a sale, assignment or transfer of five per cent or more of a business: *(Amended Mar 2016)*

a) that is a distributing corporation as defined in the *Business Corporations Act*; and

b) under which the activities authorized by a casino facility licence are carried out;

must be reported to AGLC by the casino facility licensee within 10 business days after the effective date of the sale, assignment or transfer and must be approved by the Board.

4.10.5 The Board may, in respect of a sale, assignment or transfer requiring its approval pursuant to section 30.2(3) of the Gaming, Liquor and

Cannabis Regulation and per Subsections 4.10.3 and 4.10.4 of these terms and conditions: *(Amended Mar 2016)*

a) approve it without conditions;

b) approve it subject to conditions;

c) approve it subject to the variation or rescission of existing conditions; or

d) refuse to approve it.

4.10.6 Pursuant to section 30.2(4) of the Gaming, Liquor and Cannabis Regulation, where the Board refuses to approve a sale, assignment or transfer under Subsection 4.10.5.d) after the effective date of the sale, assignment or transfer, the Board may treat the licensee as ineligible to hold a casino facility licence and make a decision under section 92 of the *Gaming, Liquor and Cannabis Act*. *(Amended Mar 2016)*

4.10.7 Pursuant to section 30.3(1) of the Gaming, Liquor and Cannabis Regulation, where after a casino facility licence is issued, the casino facility licensee intends that a person acquire a financial interest in the licensee, in the licensee's business or in the casino facility to which the licence relates, in a manner other than by way of a sale, assignment or transfer, *(Amended Mar 2016)*

a) the licensee must report the financial interest to AGLC; and

b) the Board must approve the financial interest prior to the date on which the financial interest takes effect.

4.10.8 Pursuant to section 30.3(2) of the Gaming, Liquor and Cannabis Regulation, the Board may, in respect of a financial interest requiring its approval as per Subsection 4.10.7: *(Amended Mar 2016)*

a) approve it without conditions,

b) approve it subject to conditions,

c) approve it subject to the variation or rescission of existing conditions, or

d) refuse to approve it.

4.10.9 Pursuant to section 30.3(3) of the Gaming, Liquor and Cannabis Regulation, where the Board refuses to approve a financial interest under Subsection 4.10.8.d) after the effective date of the financial

interest, the Board may treat the casino facility licensee as ineligible to continue to hold the casino facility licence and make a decision under section 92 of the *Gaming, Liquor and Cannabis Act*. *(Amended Mar 2016)*

4.10.10 For the purposes of section 37(1)(a) of the *Gaming, Liquor and Cannabis Act*, the Board may consider it appropriate to issue a gaming licence or facility licence if the applicant:

a) is a person who has acted in accordance with the law, with honesty and integrity, and in the public interest;

b) would not be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries; *(Added Mar 2016)*

c) is a person whose background, reputation and associations will not result in adverse publicity for the Province of Alberta and it's gaming industry;

d) has adequate business competence and experience for the roles or position for which application is made;

e) has satisfied the Board that the proposed funding for the operation of the licensed facility shall be adequate for the nature of the proposed operation, and from a suitable source;

f) has adequate financing available to pay all current obligations and, in addition, to provide adequate working capital to finance opening of the licensed facility; and

g) already holds a gaming or facility licence and the Board feels that the applicant holding multiple licences is not contrary to the best interests of the gaming industry or the public.

4.10.11 In all cases in which the premises are wholly or partly owned by the applicant, the applicant shall furnish to the Board complete information pertaining to the interest held by any person other than the applicant. This includes interest held under any mortgage, deed of trust, bonds or debentures, pledge of corporate stock, voting trust agreement, or other device whatever, together with such other information as the Board may require.

4.10.12 The number of casino facility licences in the Province is determined by AGLC.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.11 GENERAL LICENSING REQUIREMENTS

4.11.1 A casino facility licensee must ensure that, during the term of the licence, the licensed facility meets the requirements for a casino facility licence as established in this handbook.

4.11.2 A casino facility licensee must notify AGLC immediately if any of its officers, shareholders, directors or owners are charged with or convicted of an offence under:

a) the *Criminal Code* (Canada);

b) the *Excise Act* (Canada);

c) the *Food and Drugs Act* (Canada);

d) the *Controlled Drugs and Substances Act* (Canada);

e) a foreign Act or regulation that is substantially similar to an offence referred to in a), b), c) or d) above;

f) the *Gaming, Liquor and Cannabis Act* (Alberta); or

g) the Gaming, Liquor and Cannabis Regulation (Alberta).

4.11.3 A casino facility licensee must notify AGLC immediately upon becoming aware of an employee who is a registered casino worker and is charged or convicted of an offence detailed in Subsection 4.11.2. The Board may take disciplinary action including, but not limited to, suspension or cancellation of the registration, casino facility licence or require a person to dispose of an interest in the licensed facility.

4.11.4 A casino facility licensee must notify AGLC immediately if there is a change amongst any of the licensee's executive or key employees at the licensed casino facility as defined in Subsection 4.9.3. *(Amended May 2017)*

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.12 APPOINTMENT OF RECEIVER AND MANAGER

4.12.1 Pursuant to section 97.1 of the *Gaming, Liquor and Cannabis Act*, AGLC may apply to the Court of Queen's Bench for the appointment of a receiver and manager of the property of a casino facility licensee.

4.12.2 AGLC will only apply for the appointment of a receiver and manager if:

a) AGLC has reasonable grounds to believe the Board is about to make, or the Board has made, a decision suspending or canceling the facility licence; or

b) the casino facility licence will be, or has been, suspended or cancelled by the operation of the *Gaming, Liquor and Cannabis Act* or the Gaming, Liquor and Cannabis Regulation.

4.12.3 The Court must consider the following in determining whether to appoint a receiver and manager:

a) that it is in the public interest to ensure that casino activities in Alberta be conducted lawfully and with integrity;

b) the best interests of charities that depend on revenue from casino activities;

c) the best interests of employees who work in the licensed casino facility;

d) the best interests of creditors and persons whose property is in the possession or under the control of the casino facility licensee;

e) whether the appointment of a receiver and manager will be an effective means of ensuring the continued management and operation of the licensed casino facility;

f) the probable cost of the receivership in relation to the probable benefits to be derived by the appointment of a receiver and manager; and

g) whether the appointment of a receiver and manager will cause undue hardship or prejudice to the casino facility licensee or another person.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.12.4 The receiver and manager shall be granted the authority to manage and operate the licensed casino facility. The casino facility licensee shall not exercise any powers relating to the management or operation of the licensed casino facility once a receiver and manager has been appointed.

4.12.5 The duties of the receiver and manager shall be to:

a) act honestly and in good faith;

b) take custody and control of the property of the casino facility licensee;

c) deal with the property of the casino facility licensee in a commercially reasonable manner; and

d) keep detailed records of all transactions it carries out relating to the management and operation of the licensed casino facility. These records shall be made available for inspection by the casino facility licensee during ordinary business hours.

4.12.6 The receiver and manager shall manage and operate the licensed casino facility until relieved of its duties by the Court or until AGLC either reinstates the casino facility licence or issues a new casino facility licence.

4.12.7 The Court may at any time revoke an appointment of a receiver and manager and appoint another receiver and manager.

4.12.8 The fees payable to a receiver and manager for services, expenses and disbursements in connection with its duties shall be established by the Court and be paid out of the assets or income of the casino facility licensee.

4.12.9 Any money spent by AGLC in respect to the appointment of a receiver and manager shall be a debt owing by the casino facility licensee to AGLC.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.13 CONTROL OF CASINOS

4.13.1 No person, affiliated group of persons or a company will be allowed to control the casino industry in Alberta.

4.13.2 In every instance in which a person, entity, or persons involved in an entity, holding a gaming licence in the Province of Alberta, makes application for an additional licence, the Board shall consider whether such multiple licensing is in the best interests of the Province of Alberta.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.14 CASINO SECURITY ACCESS PROVISIONS

4.14.1 Access to areas in a casino facility, designated by AGLC to be a restricted area, must be in accordance with these policies and the Licensed Casino Facility – Access Provisions table shown at the end of this section. *(Amended Oct 2017; Amended Jan 2017)*

4.14.2 Authorized personnelare only permitted access to restricted areas within the casino facility to perform duties necessary to meet their specific job requirements (see Licensed Casino Facility – Access Provisions table). Restricted areas include, but are not limited to the: *(Amended Apr 2020; Added Oct 2017)*

a) monitor room;

b) volunteer cash cage and count room;

c) games pit areas; and

d) AGLC server rooms and secondary network closests.

4.14.3 Access logs must be maintained to record all non-registered gaming workers andexternal parties accessing any restricted area. The access log must be completed upon entry by security staff and include the individual's name, company (if applicable), date, entry and exit times, reason for access, and the individual's signature. See Subsections 5.5.16 and 5.11.6 b) for additional log requirements.

Note: All access logs must be retained for a minimum of two years. *(Amended Apr 2020; Added Oct 2017)*

4.14.4 Access approval for casino facility licensee's non-registered gaming workers (e.g. maintenance personnel) and external parties (e.g. auditors and trade contractors) contracted by the casino facility licensee or AGLC to provide services to the monitor room, AGLC server room(s), or any other restricted areas in the casino facility during operational times is subject to the following: *(Amended Apr 2020; Amended Oct 2017; Added Jan 2017)*

a) The casino manager must submit a written request to AGLC's Regulatory Services Division with the following information:

i) name of casino;

ii) name of the individual; *(Amended Apr 2020)*

iii) date(s) access requested; *(Amended Apr 2020)*

iv) areas to be accessed;

v) reason for access; and

vi) a completed Consent to Records Check form prepared by the individual applying for access approval; and

vii) If applicable, Non-Canadian external parties to provide a current criminal records check from their jurisdiction of residence. *(Added Apr 2020)*

Note: Access approval requires a minimum of three weeks from receipt of the completed Consent to Records Check form.

4.14.5 Registered gaming suppliers and gaming terminal dealers are responsible for the actions of their employees while on duty and must ensure that their employees requiring access to restricted areas within the casino facility have undergone a recognized background check as a condition of employment. Failure to conduct adequate background checks when screening and training employees may result in disciplinary action and registration conditions. *(Amended Apr 2020; Added Oct 2017)*

4.14.6 Access approval for the casino facility licensee's non-registered gaming workers (e.g. maintenance personnel) and external parties (e.g. auditors and trade contractors) contracted by the casino facility licensee or AGLC to provide services that require entry to the cash cage, count room, and games pit areas outside of operational times may be authorized bythe casino facility licensee with the following conditions: *(Amended Apr 2020; Amended Oct 2017; Amended Jan 2017)*

a) non-registered gaming workers and external parties gaining access are accompanied by casino personnel whose access is authorized in the Licensed Casino Facility – Access Provisions table; and

b) non-registered gaming workers and external parties gaining access must adhere to the CTCOG in the conduct of their duties.

4.14.7 Requests for time sensitive access approval for external parties to enter any restricted area in the casino facility, during times when the area is operational, must be made to AGLC's Regulatory Services Division prior to entry (AGLC phone number: 1-800-561-4415). *(Amended Oct 2017; Amended Jan 2017; Added July 2014)*

LICENSED CASINO FACILITY – ACCESS PROVISIONS TABLE **ATTACHMENT 4.14**

(Amended Apr 2020; Amended Oct 2017)

	Monitor Room	Cash Cage	Count Room	Games Pit Area	AGLC Server Room
Alberta Gaming, Liquor and Cannabis Commission (AGLC)					
Board Member, CEO/Vice President	X	X	X	X	X
Investigators/Inspectors	X	X	X	X	X
Technicians	X	X	X	X	X
Casino Facility Licensee					
Key Employees (e.g. CEO, CFO, VP, controller)	X A			X A	X A
Casino Manager/Acting Casino Manager	X	X	X	X	X
Director/Manager Security	X	X	X	X	X
Security Guards	X B	X	X	X	X B
Surveillance Manager	X				
Monitor Room Personnel	X				
Games Manager	X	X B	X B	X	X B
Casino Facility Operator Representative		X B	X B		
Pit Supervisor	X B			X	
Pit Boss	X B			X	
Dealer				X	
Anti-Money Laundering (AML) Manager or equivalent	X B	X B		X B	
Non-Registered Gaming Workers (e.g. maintenance personnel)	X B,C	X B,C	X B,C	X B,C	X B,C
Licensed Charity					
Charity General Manager/Alternate		X	X	X	
Banker		X			
Cashier		X			
Chip Runner				X	
Count Room Supervisor			X		
Count Room Workers (i.e., sorter, counter, recorder and amalgamator)			X		
External Parties					
Police Officers	X B	X B	X B	X B	
Cash Cage Advisor		X	X B		
Count Room Advisor			X		
Registered Gaming Suppliers/Gaming Terminal Dealers	X B,D,G	X B,D,G	X B,D,G	X B,D,G	X B,D,G
Other External Parties (e.g. auditors, contractors)	X B,E,G	X B,E,G	X B,E,G	X B,E,G	X B,E,G
Cleaners	X B,G	X B,G	X B,G	X B,G	X B,G
Other persons when authorized in writing by designated staff within AGLC's Regulatory Services	X B,F,G	X B,F,G	X B,F,G	X B,F,G	X B,F,G

A. Must have successfully undergone an AGLC background check (see Subsection 4.9.1).
B. Access authorized to perform specific job related duties only (see Subsection 4.14.2).
C. As per access approval policy for Non-Registered Gaming Workers (see Subsection 4.14.4).
D. As per access approval policy for Registered Gaming Suppliers/Gaming Terminal Dealers (see Subsection 4.14.5).
E. As per access approval policy for Other External Parties (see Subsection 4.14.6).
F. As per time sensitive access approval policy (see Subsection 4.14.7).
G. Must be accompanied, at all times, by a casino facility licensee key employee, casino manager/acting casino manager or registered gaming worker(s) whose access to the secure area is authorized in the above table.

SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS

4.15 EMERGENCY PLAN

4.15.1 In accordance with the *Occupational Health and Safety Code*, casino facilities must have an emergency response plan that, at a minimum, includes:

a) identification of potential emergencies;

b) procedures for dealing with the identified emergencies;

c) identification of, location of and operational procedures for emergency equipment;

d) emergency response training requirements;

e) location and use of emergency facilities;

f) fire protection requirements;

g) alarm and emergency communication requirements;

h) first aid services required;

i) procedures for rescue and evacuation; and

j) designated rescue and evacuation workers.

4.15.2 The emergency plan must be formulated in collaboration with affected workers and must identify the designated workers who will provide rescue services and supervise evacuation procedures in an emergency.

4.15.3 The casino facility must ensure that the designated rescue and emergency workers are trained in emergency response appropriate to the work site and the potential emergencies identified in the emergency response plan.

4.15.4 Exercises relevant to the work site that simulate the potential emergencies identified in the emergency response plan must be repeated at appropriate intervals to ensure designated rescue and evacuation workers are current and competent.

SECTION: 5. SECURITY STANDARDS

5.1 CASINO PREMISES - GENERAL

5.1.1 *(Deleted Aug 2018)*

5.1.2 Each licensed casino facility must:

a) have a secure CCTV monitor room (see Subsection 5.6 regarding the optional off-site monitor room): *(Amended July 2015)*

i) with restricted access – either a key lock or card locking system;

ii) *(Deleted Aug 2018)*

iii) that cannot be viewed by the public.

b) have a Class 4, ULC labelled TRTL 30 x 6 safe, normally with an inside time-delay-locking compartment for cash. A safe that has received the written approval of the casino facility licensee's insurance company is acceptable. AGLC must be supplied with a copy of the letter from the insurance company;

c) have a minimum of two drop boxes per gaming table, and in the case of poker games a minimum of two rake boxes plus a minimum of one back-up box per facility (all boxes must be in good repair as per Subsection 1.18.3); *(Amended Aug 2018)*

d) have telephones as well as internally and externally monitored alarm systems in each of the following areas: *(Amended Sept. 2015)*

i) security desk;

ii) table game cash cage;

iii) table game count room;

iv) each games pit area;

v) monitor room;

vi) slot cash cage (may also contain the VLT cashier area); slot count room;

vii) poker/craps cash cage; and

viii) VLT cashier area; *(Added Jan. 2015)*

e) have a clearly audible robbery alarm within the monitor room;

SECTION: 5. SECURITY STANDARDS

f) have all alarms with a direct feed into the monitor room (applies to major casinos only);

g) have height markers installed: *(Amended Sept. 2015)*

i) at all entrances and exits; including the entrances to the table game and slot count rooms, and table game, slot and poker/craps cash cages, and

ii) on the inside of table game, slot and poker/craps cash cage windows;

h) have all exit doors alarmed and, with the exception of the main entrance, all exit doors must be steel with steel frames;

i) have a secure storage area for chip inventory, playing cards and dice. The area must be monitored, at all times, with a dedicated PTZ (Pan/Tilt/Zoom) camera that provides clear identification of persons entering or exiting the storage area; and *(Amended Aug 2018)*

j) have an uninterrupted power supply (UPS), that provides adequate lighting to enable basic customer service to continue and allow for specific closed circuit television (CCTV) monitoring and recording for a minimum of one hour after loss of electrical service, to the following areas of the facility:

i) public entrance: each entrance requires emergency lighting and a dedicated PTZ (Pan/Tilt/Zoom) camera that must provide clear identification of persons entering or exiting the casino; *(Amended Jan 2017)*

ii) cash cage (table games): requires one cashier wicket to remain fully operational with emergency lights, two dedicated cameras, one of which must be a PTZ (Pan/Tilt/Zoom) camera, a bill counter and the Casino Track computer. The dedicated cameras must provide clear identification of patrons, chips and cash values; *(Amended Jan 2017)*

iii) count room (table games): requires emergency lighting, two bill counters, the Casino Track computer and two dedicated cameras, one of which must be a PTZ (Pan/Tilt/Zoom) camera;

iv) cash cage (slot operations) – may also contain the VLT cashier area: requires one cashier wicket to remain fully operational with emergency lights and two dedicated cameras, one of which must be a PTZ (Pan/Tilt/Zoom) camera. The dedicated cameras must provide clear identification of patrons, TITO tickets and cash values; *(Amended Jan 2017; Amended Jan. 2015)*

v) VLT cashier area (if applicable): a dedicated camera is required overhead of the VLT cashier's area and supplemented by one or more secondary cameras to capture an unobstructed view that must provide clear identification of the patrons. *(Amended Jan 2017; Added Jan. 2015)*

vi) slot bank: requires emergency lighting, electronic bill counter and two dedicated cameras, one of which must be PTZ (Pan/Tilt/Zoom) camera; and

vii) monitor room: requires emergency lighting, CCTV matrix and keyboard, time/date generator, dedicated video recorders for each of the cameras required pursuant to Subsection 5.1.2j) i) – vi) and four monitors. Fixed cameras may be linked to the monitors via a quad processor for split screen monitoring.

5.1.3 *(Deleted Jan 2020)*

5.1.4 The use of a wi-fi network in the casino must be approved by AGLC. This network must be for non-gaming purposes such as in the administrative and/or corporate offices (e.g. office staff use of a wireless network for laptops, printers, scanners etc.).

SECTION: 5. SECURITY STANDARDS

5.2 SURVEILLANCE PLAN

5.2.1 Each casino facility licensee shall have a surveillance plan containing the following information:

a) a description of the casino facility licensee's policies and procedures with respect to surveillance, including the areas of the premises under surveillance, the types of activities that are recorded and the periods of time for which recordings of activities are kept;

b) floor plan of each premises showing the placement of all surveillance equipment; and

c) a description of the surveillance equipment and its capabilities for each casino facility location.

SECTION: 5. SECURITY STANDARDS

5.3 CASH CAGE AND COUNT ROOM - TABLE GAMES

5.3.1 A cash cage and separate count room are required respecting table games. The cash cage and count room must be adjacent to one another.

5.3.2 Robbery procedures and counterfeit money procedures must be posted.

5.3.3 Access to the table games cash cage must be through a secured area consisting of two doors separated by a hallway. Both doors shall always remain shut and locked except when providing access to authorized personnel. The hallway area shall be monitored by close circuit television camera(s). The doors must have a peephole and shall be equipped with industrial dead bolt locks and/or be controlled by electric buzzer switch. The peephole must be of a design that affords the user a non-distorted view of the exterior.

5.3.4 A small opening (not greater than 16 inches x 16 inches) must be made between the cash cage and count room to facilitate money transfers.

5.3.5 A well-lighted counter area in the cash cage is required and must be clearly marked as “Cashier” or “Staff”. Cashier positions shall also be numbered for identification by the surveillance cameras. Lighting shall provide clear natural colour representation of the subject matter under surveillance. Cage shall be encased in a material that allows video surveillance to have an unobstructed and undistorted view of patrons and must provide patrons an unobstructed view of cash outs. At the discretion of AGLC, board/pinhole cameras may be required to be installed in the count room and cash cage (see Subsection 5.5.5). *(Amended Aug 2018)*

5.3.6 For the banker, a separate uniquely keyed locking cash drawer is required. Cash not required by the banker during operating hours shall be stored in the safe. The banker’s counter must have a raised divider to allow for cash to be counted out of public sight. Each cashier shall have a separate uniquely keyed locking cash drawer with the capability of accommodating redeemed chips and cash float.

5.3.7 An easily accessible dual custody locking chip cabinet must be available to the banker in the cash cage respecting table games.

SECTION: 5. SECURITY STANDARDS

5.3.8 A curtain, either permanent drop roller type or of cloth must be available to draw across the front of the cash cage when casino ends. This curtain is to be hung on the inside of the cage and if material, must be made of material dense enough to block out a normal light source.

5.3.9 The count room must be equipped with plexi-glass top tables that provide sufficient space for the sorting, counting and stacking of all monies and must be of appropriate height to allow wheelchair access.

5.3.10 Count rooms and cash cages will be located away from exterior walls of the casino facility or, alternatively, the exterior walls will be reinforced in a manner approved by AGLC.

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5.4 BILL COUNTER PATRON CASH OUTS

5.4.1 Cash payouts made directly to the patron from a bill counter may be done for large cash outs of more than 50 bills under the following conditions:

a) the decision to provide bill counter patron cash outs is at the discretion of the casino facility licensee;

b) the bill counter(s) must be provided by the casino facility licensee and approved by AGLC; and *(Amended Nov. 2013)*;

c) the required security and surveillance measures is the responsibility of the casino facility licensee.

5.4.2 The bill counter(s) used for patron cash outs must have the following features:

a) counterfeit detection;

b) denomination detection;

c) display(s) are visible by the patron, cashier and dedicated CCTV camera(s);

d) the bill counter(s) shall be located in a permanent position on the cash cage counter, or in a location approved by AGLC, with the display(s) visible by patrons, the cashier and CCTV camera;

e) one dedicated CCTV camera meeting the requirements of Section 5.5 must be positioned to provide a clear unobstructed view of the numbers on the bill counter(s) display and the ability to identify bill denominations for each bill counter;

f) the facility licensee is responsible for routine maintenance of and repair of bill counters they provide for patron cash outs;

g) in the event of a patron cash out bill counter malfunction, the bill counter shall be removed from the cash cage and shall not be returned for use in the cash cage until it has been repaired and tested.

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5.5 CCTV CAMERA COVERAGE AND MONITORING

5.5.1 The casino facility licensee must provide a colour CCTV (closed circuit television) system that has (see Section 5.6 regarding the optional off-site monitor room): *(Amended July 2015)*

a) A closed circuit colour TV camera system with all cameras linked to the surveillance room. Other links within the casino facility can only be made to a secure area and only with AGLC approval.

b) Each video camera must be installed in a manner that will prevent the power source from being tampered with or disabled.

c) All of the cameras on the gaming floor must be enclosed in ceiling domes with the exception of stationary cameras dedicated to individual gaming terminals and table games. *(Amended Jan. 2015)*

d) All cameras must be linked to video recorders direct or via quad or matrix switchers and be recorded in real time [30 images per second] with date and time generation. Non-gaming or back of the house areas (e.g., bars, common areas, and parking lots) may be recorded in time lapse. Digital recording units must meet the following minimum standards:

i) the digital video recording device (DVRD) must record at 30 images per second per camera with a minimum pixel image common interchange format (CIF) recording;

ii) *(Deleted Aug 2018)*

iii) the DVRD may house a built-in security data container (SDC) or utilize external storage devices or secured cloud storage services; *(Amended Jan 2020)*

iv) the DVRD must archive recorded data to a CD, DVD, flash drive or a secured cloud storage service (see Section 19.2) in compressed, authenticable format. A viewing or playback tool must also be available to review this video, as well as a method for ensuring the authenticity of the video excerpt; *(Amended Jan 2020)*

v) the DVRD must have suitable UPS backup supplying 120 volts with surge suppression connected to it to provide for a minimum of one hour recording after loss of electrical service (See Subsection 5.1.2 j) i) to vii)); *(Amended Aug 2018)*

vi) cameras linked to a DVRD must have a minimum of 480 lines of resolution; and

vii) non-gaming or back of the house areas may be recorded with motion sensitive activation at a minimum of 15 images per second.

e) All PTZ (Pan/Tilt/Zoom) cameras must provide clear identification of players, pit staff, cash/chip values, game number, and playing card value (pips) at all the table games. *(Amended Jan 2017)*

f) Cameras dedicated to the game area, gaming terminal area, cash cages and count rooms must be viewed full screen on a 19-inch or larger colour monitor. Each facility must have a sufficient number of monitors online to allow for viewing. Some 14-inch colour monitors may be used in the monitor room where console space dictates and must receive prior approval from AGLC. *(Amended Jan 2017; Amended Jan. 2015)*

g) Non-gaming areas, gaming terminal areas, and entry and exit doors may be monitored on split screen but must have the capability of being viewed full screen on a separate monitor. *(Amended Jan. 2015)*

h) The monitoring system must have a picture generator that must generate precise, easily identifiable colour pictures of the subject from any camera. *(Amended Jan 2017)*

5.5.2 Each pit, gaming terminal area and poker room must provide camera coverage as required by AGLC. The cameras providing such coverage must be a PTZ (Pan/Tilt/Zoom) camera. These must be installed to provide coverage of all table games and gaming terminals. The casino facility licensee must provide the actual number and placement of the cameras as required by AGLC. Cameras must provide clear identification of players, pit staff, cash/chip values, game number and playing card value (pips) at all games, and must be positioned to complement each other. *(Amended Jan 2017; Amended Jan. 2015)*

SECTION: 5. SECURITY STANDARDS

a) High limit games, games with progressive jackpots, and Let it Ride games must be viewed by: *(Amended Jan 2021)*

i) a dedicated stationary camera that provides an overall view of the playing surface at all times; and

ii) a PTZ (Pan/Tilt/Zoom) camera as required.

All cameras must provide clear identification of all players, staff, table numbers, cash, chip values and playing card value (pips). *(Amended Aug 2018; Amended Jan 2017)*

b) Each craps table must be viewed by a dedicated PTZ (Pan/Tilt/Zoom) camera from both ends of the table that must provide clear identification of players, pit staff, cash/chip values and dice. *(Amended Jan. 2015)*

c) A roulette table requires a dedicated camera to provide an overall view of the playing surface. The table must be viewed with a PTZ (Pan/Tilt/Zoom) camera that must provide clear identification of all players, staff, table numbers, cash, chip values, wheel, ball, table bets and winning number marker for verification of winning combinations and payouts. When an automatic chip stacker is used, an additional dedicated camera is required for each roulette table to ensure an uninterrupted view of the wheel and the layout. *(Amended Jan 2017)*

d) A double layout hand held baccarat table must be viewed by a minimum of: *(Amended Jan 2021)*

i) two dedicated stationary cameras that provide an overall view of the playing surface at all times; and

ii) two PTZ (Pan/Tilt/Zoom) cameras as required.

All cameras must provide clear identification of all players, staff, table numbers cash, chip values and playing card values (pips). *(Amended Aug 2018; Amended Jan 2017)*

e) A single layout hand held baccarat table must be viewed by:

i) a dedicated stationary camera that provides an overall view of the playing surface at all times; and

ii) a PTZ (Pan/Tilt/Zoom) camera as required.

All cameras must provide clear identification of all players, staff, table numbers, cash, chip values and playing card value (pips). *(Amended Aug 2018; Amended Jan 2017)*

f) All wide area progressive slot machines must be viewed by a dedicated camera that must capture all patrons and employees at the slot machine, supplemented by a PTZ (Pan/Tilt/Zoom) camera that must provide clear identification of the patron and slot machine screen. *(Amended Jan 2017; Amended Nov. 2013)*

g) Electronic table games, must be viewed by a dedicated camera that must capture all patrons and employees at the electronic table game, supplemented by a PTZ (Pan/Tilt/Zoom) camera that must provide clear identification of the patron and electronic table game display. *(Amended Jan 2021)*

h) All other gaming terminals must be viewed by a PTZ (Pan/Tilt/Zoom) camera that must provide clear identification of the player and gaming terminal screen. *(Amended Jan 2017; Amended Jan. 2015; Added Nov. 2013)*

i) Cameras must be strategically placed so that there are no blind spots in the gaming terminal area and the cameras must provide for clear identification of all staff, players and patrons. *(Amended Jan. 2015)*

j) An interim close of a table game may be completed under the requirements of surveillance for table view which allows for the clear identification for the locking of the game table tray and participating staff members. An Interim Close Card will be placed under the lid of the tray prior to locking.

5.5.3 A dedicated camera must be installed so there is complete, full-time coverage of each entry/exit (not required for “emergency only” exits) that must provide clear identification of all individuals entering or leaving the premises. *(Amended Jan 2017)*

5.5.4 Camera requirements for ticket redemption kiosks (TRK) are as follows:

a) a dedicated camera(s) is required for each TRK that must provide a clear image of the TRK screen and clearly identify all patrons and employees accessing the TRK to confirm the transactions conducted at the kiosk; and *(Amended Aug 2018; Amended Jan 2017)*

b) cabling (minimum CAT 5) connected to a surveillance system, and linked to video recorders, as specified in Section 5.5.1 d), must be provided. AGLC will install the camera on top of each TRK.

5.5.5 A dedicated camera is required overhead of each cashier's position and must provide a clear identification of chip values and bill or coin denominations. The overhead camera must be supplemented by one or more secondary cameras to capture an unobstructed view that must provide clear identification of the patron. *(Amended Aug 2018)*

5.5.6 Each cash cage, count room, slot cash cage and count room and poker/craps cash cage must have a PTZ (Pan/Tilt/Zoom) camera(s) installed to provide complete coverage of all areas within each room. *(Amended Aug 2018; Amended Jan 2017)*

5.5.7 Live monitoring and recording by registered monitor room personnel must be in effect:

a) during operating hours in casino facilities having 16 table games or more; and

b) during operating hours on Thursdays, Fridays, Saturdays and Holiday Sundays in casino facilities having 15 table games or less with 350 or more slot machines.

5.5.8 If the casino facility has at least 700 slot machines and/or 40 table games, there must be at least two monitor room personnel on duty Fridays, Saturdays and Holiday Sundays from 1900 hours to 0300 hours, or until all monies are secured and all casino staff and volunteers have exited the casino. *(Amended Apr. 2014)*

5.5.9 Casino facilities with 15 table games or less and 349 or less slot machines must provide live camera monitoring and recording when high limit games are offered. When high limit games are in play the games manager shall delegate the responsibility of who will conduct the live monitoring and recording of high limit games in the casino, as per access provisions in Attachment 4.14. Additional hours of monitoring may be required based upon gaming activity. Live recording is mandatory during casino operating hours. *(Amended Jan 2021)*

5.5.10 Monitor room personnel must be in the monitor room at all times during operational hours of the casino. A senior security officer, trained in the use of camera surveillance, may be used to relieve

monitor room personnel during breaks and for the monitoring of late night poker (3:00 am to 10:00 am).

5.5.11 All CCTV systems' recordings must be retained for a minimum of 15 days and must be made available for review upon request by any AGLC inspector. The video recording of an event must be provided to an AGLC inspector in a format removable from the casino upon request. *(Amended Aug 2018)*

5.5.12 The monitor room must have the override capability and control of all cameras at a casino facility including the security department monitors.

5.5.13 The monitor room must maintain radio communications with the casino facility's security personnel (see Section 5.6 regarding the optional off-site monitor room). *(Amended July 2015)*.

5.5.14 The monitor room is to be treated as a high security area, and access is permitted to authorized personnel only, as detailed in Section 4.14 Casino Security Access Provisions.

5.5.15 All equipment must be maintained and be in proper working order. AGLC must be notified if CCTV coverage falls below the minimum standards of the CTCOG.

5.5.16 All surveillance rooms must use a daily activity log. The log must include the times of arrival and departure, names of person(s) entering and the reason for entry.

Note: Monitor room access logs must be retained for a minimum of two years. *(Added Apr 2020)*

5.5.17 Any use of a wireless camera must be approved by AGLC. Wireless cameras must not be utilized for the monitoring of gaming or gaming related activities.

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5.6 OFF-SITE MONITOR ROOM

(Added July 2015)

5.6.1 With the prior approval of AGLC, casino facility licensees may utilize an off-site monitor room. Casino facility licensees must submit to AGLC:

a) a proposal for an off-site monitor room that meets the facility and security requirements in this handbook;

b) a surveillance plan (see also Section 5.2); and

c) a business continuity plan in the event of a disruption or failure affecting the operational ability of the off-site monitoring room.

5.6.2 The approved off-site monitor room operates under the casino facility licence and comprises part of the restricted non-gaming area of the casino facility.

a) The casino facility licensee must demonstrate proof of the right to occupy and control the premises for the approved off-site monitor room, including full access to the premise during casino operating hours and compliance with the requirements under Subsection 14.9.5; and

b) All areas of the licensed facility which are governed by the facility licence are subject to AGLC policy.

5.6.3 The minimum requirements for the provision of an off-site monitor room include, but are not limited to:

Note: Additional requirements may be necessary based on an assessment by AGLC of the proposal for the off-site monitor room.

a) A secure CCTV viewing room at the primary casino location:

i) capable of acting as a backup monitor room;

ii) two workstations with monitoring equipment;

iii) monitoring equipment must be able to provide adequate viewing of the activity on the gaming floor and other areas of the licensed facility as provided for in this handbook;

iv) digital cameras are recorded on network video recorders (NVRs);

v) entrances and internal space require camera coverage connected to the CCTV system; and

vi) facility requirements and security standards as provided for in Sections 4 and 5 of this handbook or any other section of the CTCOG.

b) The surveillance servers and NVRs must be located at the primary casino location along with all storage of surveillance video; and

c) Off-site monitor room:

i) the location of the off-site monitor room requires prior approval of AGLC;

ii) seamless digital surveillance video in real time must be streamed direct from the casino facility to the off-site monitoring room using a dedicated closed (private) fiber optic connection. No other links are authorized unless approved by AGLC;

iii) the monitoring equipment must be able to provide adequate viewing of the activity on the gaming floor and other areas of the licensed facility as provided for in this handbook;

iv) seamless real time communications with the casino facility's security personnel must include:

- digital radio voice communications streamed using the dedicated closed (private) fibre optic connection; and
- an internal telephone system.

v) minimum staffing levels, registration of staff and staff duties at the off-site monitor room, per facility, are the same as for an on-site monitor room;

vi) casino security access provisions to the off-site monitor room are as provided for in CTCOG Section 4.14;

SECTION: 5. SECURITY STANDARDS

vii) casino access provisions for AGLC as specified in CTCOG Section 1.12 applies to the off-site monitor room;

viii) entrances require camera coverage connected to the CCTV system; and

ix) facility requirements and security standards as provided for in Sections 4 and 5 of this handbook or any other section of the CTCOG.

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5.7 COUNTERFEIT MONEY PROCEDURES

5.7.1 The following procedures shall be implemented when suspect counterfeit money is identified:

a) Games area

Dealer, if suspicious that counterfeit money was used for a buy-in:

i) immediately notifies pit boss;

ii) does NOT place money in the drop box;

iii) makes note of time and suspect's description; and

iv) writes a Discrepancy Report on their next break giving as many details as possible.

Pit boss or pit supervisor:

i) advises games manager;

ii) seizes suspect bills, places in a clean envelope - handles money as little as possible - and retains until it is turned over to the investigating officer; and

iii) writes a Discrepancy Report providing as many details as possible.

Games manager:

i) attempts to identify suspect if it appears he/she is leaving the casino;

ii) contacts local law enforcement agency and advises them that the suspect is on site or not;

iii) when suspect bills have been placed into the drop box, immediately conducts a one-box pull with general manager. Games manager opens box in count room in the presence of the general manager and one other volunteer, seizes suspect bills and places in a clean envelope, handling bills as little as possible, and retains securely until it is turned over to the investigating officer;

iv) ensures a counterfeit checklist and Discrepancy Reports are completed by dealer and pit boss or supervisor and submitted to the Investigations Branch within 24 hours via fax to St. Albert at (780) 447-8914 or email at investigators.mailbox@aglc.ca; and

v) advises general manager of the occurrence.

Monitor room personnel:

vi) records suspect(s) with video equipment (using real time recording mode), generate photograph(s).

b) Count Room

If a counterfeit bill is located during a count and the identity of the passer is not known, count room supervisor together with either the count room advisor or financial control supervisor will:

i) seize the bills, place them in a clean envelope, on the outside of the envelope put their initials, the date and record the time that the bills came into their possession;

ii) maintain seizure in a secure place ensuring continuity until such time item(s) turned over to a police officer;

iii) contact local enforcement agency and follow their directions;

iv) notify general manager and games manager so that games area staff can be alerted; and

v) prepare a counterfeit checklist and discrepancy report and together with the games manager, submit all reports to the Investigations Branch, within 24 hours, via fax to St. Albert at 780-447-8914 or email at investigators.mailbox@aglc.ca.

SECTION: 5. SECURITY STANDARDS

c) Slot Cash Cage

If a counterfeit bill is located, the slot manager shall be notified. Any handlers of the counterfeit bill will complete a Discrepancy Report. The counterfeit bill will be turned over to casino security. Security will:

i) contact local enforcement agency and follow their directions; and

ii) submit a counterfeit checklist to AGLC, within 24 hours, via fax to St. Albert at (780) 447-8914 or email at investigators.mailbox@aglc.ca.

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5.8 ILLEGAL ACTIVITIES

(Amended Dec 2017)

5.8.1 If an illegal activity occurs or is suspected to have occurred (e.g. theft, cheating at play, money laundering) at a licensed casino facility, the following procedures must be implemented:

a) casino facility licensee staff witnessing an illegal or suspected illegal activity must:

i) notify their immediate supervisor at the first opportunity in such a manner, where appropriate, not to alert the suspect(s);

ii) continue to perform duties in a normal manner so that the suspect(s) is not alerted;

iii) document the details of the incident, including, but not limited to the:

- type of illegal activity and the time it occurred;
- description of the suspect(s);
- game being played, including the table or gaming terminal machine number;
- suspect(s) position at the table (if applicable);

iv) collect statements from witnesses, including their contact information, if available; and

v) complete a Discrepancy Report (see Section 5.10).

b) the supervisor notified of an illegal or suspected illegal activity must:

i) immediately notify the games manager and/or the director/manager of security and instruct monitor room staff to retain evidence of the illegal activity and suspect(s) (see Subsection 5.8.1 d));

ii) continue to perform duties in a normal manner so that the suspect(s) is not alerted;

iii) make notes pertaining to the incident, providing as many details as possible, including any personal observations; and

iv) complete a Discrepancy Report as soon as possible (see Section 5.10).

c) the games manager and/or director/manager of security must:

i) alert security staff of the illegal or suspected illegal activity, providing them with a description of the suspect(s) (see Subsection 5.8.1 e));

ii) attend the monitor room to view suspect(s) activities, and to confirm the illegal or suspected illegal activity, if possible;

iii) if satisfied the video recording captured the illegal activity contact: AGLC at (780) 447-8885 (days) or 1-800-561-4415 (after hours) in St. Albert; or (403) 292-7300 (days), or 1-800-561-4415 (after hours) in Calgary, and request the attendance of an investigator. If an investigator is not able to attend, contact the local law enforcement agency and follow their directions;

iv) if the video recording is of a single cheat at play or a suspected illegal activity and it is not clear that an offence has been committed, instruct security to identify the suspect(s) prior to he/she leaving the casino and report the matter to AGLC's Hotline immediately; and

v) prepare a Discrepancy Report (see Section 5.10), collect other Discrepancy Reports written by staff pertaining to the incident and immediately submit them all to AGLC's Investigations Branch at: investigators.mailbox@aglc.ca.

d) monitor room staff, upon becoming aware of an illegal or suspected illegal activity, must:

i) ensure continuous surveillance of the suspect(s) is being maintained, document the suspect(s) activities, and make notes of the occurrence;

ii) ensure that the suspect(s) is being recorded by more than one camera to provide clear identification of the suspect(s) and other elements associated with the incident (e.g. cards, money, chips, table game/gaming terminal, vehicle information, licence plate, transactions, associates and/or non-gaming area); and

iii) securely retain all video evidence of the subject(s) and incident and submit to AGLC's Investigations Branch at sftp.aglc.ca and notify investigators.mailbox@aglc.ca.

e) security guards investigating an illegal or suspected illegal activity must make detailed notes of the incident, including but not limited to:

i) personal observations;

ii) date and time of incident;

iii) particulars of any conversation with suspect(s);

iv) vehicle information and licence plate number (where applicable); and

v) names of any persons witnessing the incident or having contact with the suspect(s).

5.8.2 In a situation where there is clear and present danger to casino staff, property or patrons, immediately contact the law enforcement agency of jurisdiction.

SECTION: 5. SECURITY STANDARDS

5.9 CHIP INVENTORY CONTROLS

5.9.1 Casino chips must be designed in a manner that identifies, and is unique to, each casino facility.

5.9.2 A casino facility must only accept its own chips in exchange for cash, chips or bets. Accepting chips from another casino facility is prohibited.

5.9.3 Each casino facility licensee shall maintain security of all chip inventories.

5.9.4 Chip inventories not in use shall be kept locked and each casino facility licensee shall provide a list to AGLC, of all those with access to chip inventory.

5.9.5 A Discrepancy Report shall be used to document the removal or the addition of chips from the inventory (see Section 5.10). Signatures are required from both the casino facility licensee representative and the general manager.

5.9.6 Purchases of new chips shall be submitted for the approval of AGLC (see Section 9.11).

SECTION: 5. SECURITY STANDARDS

5.10 DISCREPANCY REPORTS

(Amended Dec 2017)

5.10.1 It is a condition of both the registration and licensing that casino facility licensees, registered gaming workers, and other casino employees immediately report illegal or suspected illegal activities (e.g. cheat at play, theft, money laundering, etc.) to AGLC Investigations Branch (see Section 5.8).

5.10.2 Suspicion or evidence of procedures inconsistent with or in violation of the CTCOG, and overages or shortages of gaming chips or cash in excess of $200, not including proven compensating errors, require immediate investigation and corrective action by the casino facility licensee, games manager, director/manager of security, advisor(s) and/or the general manager. A Discrepancy Report that provides details of the occurrence must be submitted to AGLC.

5.10.3 The following Discrepancy Report forms (see Section 11) must be completed for the purposes specified:

a) Discrepancy Report – Form 5425 must be used for all non-electronic gaming discrepancies; and

b) Gaming Discrepancy Report Electronic Devices – Form 6619 must be used for all electronic gaming device (gaming terminal) discrepancies.

For casinos in Red Deer, Calgary and Southern Alberta, Discrepancy Reports must be sent directly to:

The Alberta Gaming, Liquor and Cannabis Commission
Suite 110, Deerfoot Atrium Building
6715 - 8 Street N.E.
Calgary, Alberta T2E 7H7
Fax: (403) 292-7302
Email: inspectionsgaming@aglc.ca

Note: For Discrepancy Reports pertaining to illegal activities (see Section 5.8) use investigators.mailbox@aglc.ca.

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For casinos in Edmonton, Fort McMurray, Grande Prairie, St. Albert and all other areas, Discrepancy Reports shall be sent directly to:

The Alberta Gaming, Liquor and Cannabis Commission
50 Corriveau Avenue
St. Albert, Alberta T8N 3T5
Fax: (780) 447-8912
Email: inspectionsgaming@aglc.ca

Note: For Discrepancy Reports pertaining to illegal activities (see Section 5.8) use investigators.mailbox@aglc.ca.

5.11 AGLC SERVER ROOMS

5.11.1 AGLC server rooms include all primary server rooms and secondary network closets within a casino facility.

5.11.2 AGLC server rooms must be secure and dedicated for that purpose only and meet all requirements set out in Subsection 4.1.2c).

5.11.3 Server room entrance door(s) must always be closed and secured.

5.11.4 The casino manager and/or director/manager of security are responsible for the security of AGLC server rooms.

5.11.5 AGLC server rooms are high security areas and as such, access to AGLC server rooms is restricted to authorized personnel only (see Section 4.14).

5.11.6 The casino facility licensee must:

a) maintain a server room key/access card log, accounting for all keys/access cards, recording staff names, registration numbers (if applicable), dates of issuance and dates of collection of keys/access cards;

b) maintain server room access logs, recording staff name/registration number (if applicable), name of authorized individual date/time of entry and reason for entry; *(Amended Apr 2020)*

c) retain key/access card logs and server room access logs; *(Amended Apr 2020)*

d) immediately report misplaced, lost or stolen server room keys/access cards to AGLC Investigations Branch; and

e) immediately replace the server room keys and lock mechanisms upon request of AGLC.

Note: All logs referred to in this Section must be retained for a minimum of two years. *(Added Apr 2020)*

SECTION: 6. REGISTERED GAMING WORKERS

6.1 REGISTRATION

6.1.1 In this Section, an "applicant" means an individual applying for registration as a gaming worker pursuant to the Gaming, Liquor and Cannabis Regulation. *(Amended May 2017)*

6.1.2 Pursuant to section 25 of the Gaming, Liquor and Cannabis Regulation, a casino worker class of gaming worker registration is established which authorizes a person to perform at a casino facility a function specified in the person's registration. Gaming workers (paid staff) in the following positions must be registered to perform the function specified in the registration at a casino event:

a) cash cage advisor;

b) count room advisor;

c) games manager (major casinos – 16 or more table games);

d) games manager (minor casinos – 15 or less table games);

e) pit supervisor;

f) pit boss;

g) dealer;

h) director of security;

i) manager of security;

j) security guard;

k) surveillance manager;

l) monitor room personnel;

m) slot manager;

n) slot supervisor; *(Added Jan. 2015)*

o) slot operator:

   i) slot cashier;

   ii) slot attendant; and

   iii) slot count room attendant; *(Added Jan. 2015)*

p) casino manager; and

q) casino facility operator representative.

SECTION: 6. REGISTERED GAMING WORKERS

6.1.3 Casino facility licensee personnel not registered with AGLC are prohibited from engaging in the following:

a) entering the pit areas of the casino games floor;

b) conducting or managing gaming activities;

c) making decisions relating to dispute resolution of gaming irregularities;

d) conducting financial transactions for, or on behalf of, a patron in excess of $200 per gaming day; and

e) performing any duty for which there is already an identified work function associated with a registered gaming worker position. *(Added, July 2015)*

6.1.4 Only individuals are eligible to be registered as gaming workers. Businesses or companies may not be registered as gaming workers.

6.1.5 Applications for registration as a casino worker may be obtained from AGLC (see Subsection 6.1.19).

6.1.6 Pursuant to section 9 of the Gaming, Liquor and Cannabis Regulation, key employees of the casino facility as listed under Subsection 4.9.3 are subject to background checks as specified in Section 4.9. *(Amended Mar 2016)*

6.1.7 To be registered as a gaming (casino) worker, the applicant must: *(Amended Mar 2016)*

a) be at least eighteen years of age;

b) be a Canadian citizen or a landed immigrant, or a citizen of a foreign country who has received a work permit from federal authorities to work as a casino worker. The appropriate documents from federal authorities must be provided as part of the registration process; *(Amended Aug 2019)*

c) have the experience specified by AGLC for the function; and

d) if AGLC establishes an exam for the function, achieve at least the minimum exam score specified by AGLC.

6.1.8 Pursuant to section 10(1) of the Gaming, Liquor and Cannabis Regulation, the Board may refuse to register an applicant as a casino worker, if the applicant or an applicant's associates, fail to pass a records check. *(Amended Mar 2016)*

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6.1.9 Pursuant to section 10(2) of the Gaming, Liquor and Cannabis Regulation, a person does not pass a records check if the individual: *(Amended Aug 2019; Amended Mar 2016)*

a) *(Deleted Aug 2019)*

b) has at any time been charged with or convicted of:

i) an offence under the *Criminal Code* (Canada), the *Excise Act* (Canada), the *Food and Drugs Act* (Canada) or the *Income Tax Act* (Canada); *(Amended Aug 2019)*

ii) an offence under the *Controlled Drugs and Substances Act* (Canada), other than under section 4(1) of that Act for possession of any substance included in Schedule II to that Act; or *(Added Aug 2019)*

iii) an offence under a foreign Act or regulation that, in the Board's opinion, is substantially similar to an offence referred to in subclause i) or ii).

and, if in the Board's opinion the offence is sufficiently serious that it may detract from the integrity with which gaming activities or provincial lotteries are to be conducted in Alberta or may be detrimental to the orderly or lawful conduct of activities authorized by a liquor licence or a registration relating to liquor, or

c) has, within the five years prior to the submission of the application, been serving a term of imprisonment of three years or more.

6.1.10 Pursuant to section 11 of the Gaming, Liquor and Cannabis Regulation, the Board may refuse to register an applicant if the Board is satisfied that the applicant has within the five years prior to the submission of the application contravened: *(Amended Mar 2016)*

a) the *Gaming, Liquor and Cannabis Act* or Gaming, Liquor and Cannabis Regulation;

b) a predecessor of the *Gaming, Liquor and Cannabis Act* or Gaming, Liquor and Cannabis Regulation; or

c) a condition imposed on a licence or registration issued or made under the *Gaming, Liquor and Cannabis Act* or a predecessor of the Act.

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6.1.11 Pursuant to section 13 of the Gaming, Liquor and Cannabis Regulation, the Board may refuse to issue a licence to an applicant or to register an applicant if the Board is satisfied that the applicant, any of the applicant's key employees or associates or any other person or entity with connections to the applicant: *(Amended May 2017; Amended Mar 2016)*

a) is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person;

b) would be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries;

c) is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta; or

d) would be a detriment to the lawful manufacture, import, purchase, sale, provision, transport, possession, storage, use or consumption of liquor.

6.1.12 Notwithstanding Subsections 6.1.8 through to 6.1.11 above, the Board may refuse to register an applicant.

6.1.13 A casino facility licensee must notify AGLC immediately upon becoming aware of any of the casino facility licensee's registered gaming workers being charged with or convicted of an offence under the legislation listed in Subsection 6.1.9.

6.1.14 A registered gaming worker must notify AGLC and the casino facility licensee immediately when charged with or convicted with an offence under:

a) the *Criminal Code* (Canada);

b) the *Excise Act* (Canada);

c) the *Food and Drugs Act* (Canada);

d) the *Income Tax Act* (Canada); *(Added Aug 2019)*

e) the *Controlled Drugs and Substances Act* (Canada); *(Added Aug 2019)*

f) a foreign Act or Regulation that is substantially similar to an offence referred to in a), b), c), d) or e) above;

g) the *Gaming, Liquor and Cannabis Act* (Alberta); or

h) the Gaming, Liquor and Cannabis Regulation (Alberta).

6.1.15 If a registered gaming worker is charged or convicted, as described in Subsection 6.1.14, the Board may take disciplinary action including, but not limited to, suspension or cancellation of the registration.

6.1.16 If a registered gaming worker has misled the Board, failed to provide information or provided inaccurate information, the Board may take disciplinary action including, but not limited to, suspension or cancellation of the registration.

6.1.17 Registered casino workers may only work in the position(s) for which they are registered and may only be paid for the work performed in these positions.

6.1.18 A registered casino worker employed by a casino facility licensee, and who also is a member of a licensed charity within that facility, may work at his or her charity's event as follows:

a) the paid worker may be paid his or her normal salary for working the event in the position for which he or she is regularly employed and registered; or

b) the paid worker may choose to volunteer (not be paid) to work for the charity of which he or she is a member, in any position the charity licensee has designated that individual to work if the registered worker has applied for a temporary suspension of registration with AGLC.

6.1.19 Failure to comply with the conditions of registration and any of the provisions of the terms and conditions may result in disciplinary action by the Board including, but not limited to, suspension or cancellation of the registration.

6.1.20 Registration can be renewed only by re-applying. Only the position(s) performed on a regular basis, or positions required on a demonstrated need, will be registered. When re-applying, applicants are not required to provide a birth certificate. If approved, the original registration number will continue to be used.

6.1.21 Applications for registration as a gaming worker (Form 5422) may be obtained by emailing AGLC at gaming.registrations@aglc.ca. A copy of the application may also be accessed on AGLC's website at aglc.ca.

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6.1.22 The registration application will only be processed if:

a) it is complete in all the information requested;

b) the information in the application is truthful; and

c) there is a security clearance attached to the application for registration and the clearance is dated within three months of the application date.

6.1.23 Any changes to personal information (for example, address or surname) provided to AGLC must be reported immediately in writing, by email to gaming.registrations@aglc.ca, by fax to 780-447-8912 or by telephoning AGLC's Registration Unit at 1-800-272-8876.

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6.2 CONDUCT

6.2.1 A registered gaming worker must comply with the conditions of registration and the provisions of the terms and conditions and operating guidelines. Failure to do so may result in disciplinary action up to and including the suspension or cancellation of registration.

6.2.2 A registered gaming worker must maintain the integrity of gaming and ensure that only lawful gaming activities are conducted in a casino facility or at a casino.

6.2.3 Gaming workers shall ensure their registration is current with AGLC.

6.2.4 Registered gaming workers may work only in the position for which they are currently registered. Registered gaming workers wanting to volunteer their services to a charity of which they are a member must apply for a temporary suspension of registration.

6.2.5 Advisors and games managers are deemed to be on continual duty during the casino event. They may not participate in any activity that detracts from their casino duties.

6.2.6 Advisors employed in rural casinos where only one advisor is present MUST hold both cash cage and a count room registration.

6.2.7 For advisors and games managers to remain registered with AGLC: *(Amended Sept 2019)*

a) Advisors must work a minimum of 200 hours over a two-year period (100 of these hours must be in the last year) and within these hours the registrant must oversee a minimum of four opening procedures and a minimum of four closing procedures.

b) Games managers must work a minimum of 56 hours over a two-year period (28 of these hours must be in the last year) and within these hours the registrant must oversee a minimum of eight opening or closing procedures..

If unable to meet these requirements, advisors and games managers must forfeit their registration and may not be employed in these capacities by charity licensees or casino facility licensees. *(Amended Sept 2019)*

6.2.8 AGLC will only accept an application for testing as a games manager when the following condition is met: applicants normally must either be actively employed by a casino facility licensee or have a “Letter of

Intent" signed by a casino facility licensee stating that the applicant is to be offered continual employment as a games manager.

6.2.9 Registered gaming workers must not use or be under the influence of liquor, cannabis or illegal drugs while on duty. Any use of prescription (including cannabis for medical purposes) or off-the-shelf medications while on duty must not interfere with the ability of workers to perform their work duties: *(Amended Oct 2018; Amended Jan 2018)*

a) workers using prescription (including cannabis for medical purposes) or off-the-shelf medications must follow the casino facility licensee's policies and procedures regarding their use while at work.

6.2.10 Registered gaming workers, casino facility directors, shareholders, managers, and key facility employees are prohibited from playing casino games or gaming terminals (including slot machines and VLTs) where they are employed or contracted. Registered casino advisors are prohibited from playing casino games, slot machines or VLTs at the facility where they are contracted for the length of the casino event.

6.2.10.1 Advisors are not permitted to provide advisor services at a licensed casino facility where they are employed by the facility licensee in any unregistered position, or at any casino owned by the same casino facility licensee. *(Added Aug. 2014)*

6.2.11 Registered gaming workers are prohibited from dealing to family members, relatives or friends. Workers are to advise the pit boss immediately if these people attempt to play at the dealer's table.

6.2.12 A registered gaming worker will only be allowed to fill the position and perform the function they are scheduled for and assigned to for that specific casino event.

6.2.13 Personal possession of chips by registered gaming workers shall result in an immediate investigation and disciplinary action by the games manager. AGLC must be advised (see Subsection 5.9.2).

6.2.14 A name card shall be worn by all registered gaming workers while on duty and shall be visible at all times:

a) advisors and charity workers shall wear a laminated colour photo identification tag showing first or common name,

position, registration number, registration expiry date and also an AGLC registration card for CasinoTrack;

b) the casino facility licensee shall supply registered games managers, pit staff, dealers, monitor room personnel and security guards with a laminated colour photo identification card as follows:

Card Front:

i) company name or logo;

ii) current colour photo - similar in size to a driver's licence photo;

iii) registration number - print size must be clearly visible with block style printing only; *(Amended Nov. 2013)*

iv) employee first name only - print size must be clearly visible with block style printing only; and *(Amended Nov. 2013)*

v) registration expiry month.

Card Back (Optional):

i) full name;

ii) authorizing company signature;

iii) company data - i.e., employee number; and

iv) company conditions of employment.

c) Two AGLC registration cards shall be issued at time of registration for CasinoTrack. These will be kept secured by the individual and shall not be transferable. All registered gaming workers and charity workers shall wear the registration card while on duty. In case of loss of, or damage to, a card a $25.00 replacement fee will be charged. If a registered gaming worker does not have a valid registration card, they will not be allowed into the system and therefore cannot be permitted to work.

6.2.15 Only registered gaming workers, scheduled to a specific task and on duty are allowed in gaming areas.

6.2.16 Cashing cheques or extending credit is prohibited anywhere on the gaming floor except as per Section 1.20, Cash Call Machines.

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6.3 CASH CAGE AND COUNT ROOM ADVISOR

6.3.1 Interested applicants for the cash cage or count room advisor position must submit a letter to AGLC, providing the following information:

a) name and address of the applicant;

b) $100 payment to cover administrative costs; and

c) a security clearance (AGLC is not responsible for the cost of the clearance).

6.3.2 On receipt of the documentation as per Subsection 6.3.1, applicants will be required to write an exam and achieve a minimum score of 75 per cent.

6.3.3 Applicants failing to achieve the minimum score will be allowed to re-write the exam according to the following:

a) applicants failing to achieve the minimum score on their first attempt:

i) will not be permitted to re-write the exam for three months from the date the exam was written; and

ii) must make written application to AGLC requesting approval to re-write the exam; the applicants will not be required to submit the $100 administration fee or provide a security clearance.

b) applicants failing to achieve the minimum exam score on their second attempt:

i) will not be permitted to re-write the exam for six months from the date the second exam was written; and

ii) must make written application to AGLC requesting approval to re-write the exam; the request must include the $100 administration fee and an updated security clearance.

c) applicants failing to achieve the minimum exam score on their third attempt:

i) will not be permitted to re-write the exam for one year from the date the third exam was written; and

ii) must make written application to AGLC requesting approval to re-write the exam; the request must provide a written explanation as to why the applicant should be allowed to re-write the exam, the $100 administration fee and an updated security clearance. *(Amended Jan. 2015)*

d) applicants failing to achieve the minimum exam score on their fourth attempt:

i) will not be permitted to re-write the exam for two years from the date the fourth exam was written; and

ii) must make written application to AGLC requesting approval to re-write the exam; the request must provide a written explanation as to why the applicant should be allowed to re-write the exam, the $100 administration fee and an updated security clearance. *(Amended Jan. 2015)*

6.3.4 Upon successful completion of the exam, a thorough background check into the successful applicant will be conducted. The background check process is described in Section 4.9 of the CTCOG. *(Amended Mar 2016)*

6.3.5 AGLC will issue a temporary training registration for a period of six months for the positions of a cash cage advisor or a count room advisor upon successful completion of the exam. A registration will be issued upon completion of the background check and a training period which includes: *(Amended Mar 2016)*

a) three event opening procedures;

b) three event final day closing procedures;

c) three banker shift changes;

d) one full event, and

e) for the count room two full count room events.

6.3.6 Cash cage and count room advisors are directly accountable to AGLC. They shall ensure licensed charities comply with provisions of the *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation and Board policies as they relate to cash cage and count room activities. Failure to do so may result in disciplinary action up to and including suspension or cancellation of registration.

6.3.7 Cash cage advisors and count room advisors are, as a condition of registration, responsible for providing the relevant information, assistance and guidance for a charitable licensee to properly complete the required financial control forms and at the same time adhere to all the financial control requirements. All required documentation pertaining to the casino event must be completed and balanced at close of the casino event prior to advisor's departure.

6.3.8 Cash cage advisors and count room advisors cannot promote themselves as the favoured or preferred advisor for any specific casino facility.

6.3.9 Cash cage and count room advisors are responsible for identifying and reporting the circumstances surrounding any shortages by submitting a Discrepancy Report. An investigation may be conducted based on the submitted Discrepancy Report. If negligence is involved in the shortage, Board action may be considered to secure the missing funds. If the shortage occurred as the result of a criminal act, the appropriate *Criminal Code* charges will be laid. (Refer to Section 12, Enforcement of Legislation).

6.3.10 Cash cage and count room advisors must hold a current registration with AGLC. Advisors may not hold any other gaming registrations, except as a registered charity worker at a Host First Nation charitable casino. *(Amended Aug., 2014)*

6.3.11 Cash cage advisor duties are defined as follows:

a) ensure procedures are consistent with CTCOG and documents are verified as required;

b) access the Casino Gaming Information Network (CGIN) website periodically and when directed to, view AML program information and updates; *(Added Aug 2016)*

c) work in co-operation with the casino facility licensee, charity workers, and volunteers to ensure a professional casino operation for the overall benefit and integrity of charitable gaming;

d) ensure cash cage entrance is locked and access provisions enforced;

e) train, advise and ensure volunteers abide by the following:

i) position duties;

ii) security awareness and practices including:

- chip/cash handling and protection;
- hold-up, robbery and alarm procedures;
- panic alarm buttons;
- counterfeit money procedures; and
- AML procedures. *(Amended Aug 2016)*

iii) cashiers do not accept chips from another casino facility;

iv) cashiers lay out incoming chips, in the following manner:

- laid flat side by side and not overlapping so they can be easily read by surveillance measures;
- highest denomination in descending order to the lowest denomination; and
- if space is required for chip quantities of more than 20 of the same denomination, stacks of 20 chips shall be confirmed and placed in a chip rack in clear view of surveillance measures.

v) cashiers count out by hand all cash payouts, in the following manner:

- fanning out the bills lengthways in groups of 10;
- not more than 10 groups at a time;
- bills overlapping with the denominations clearly visible on each bill, so that the denomination is visible to surveillance measures; and
- if space is required for bill quantities of more than 10, of the same denomination, stacks of 10 bills shall be placed to the side in clear view of surveillance measures.

vi) cashiers may directly make cash payouts to patrons using a bill counter for large cash outs of more than 50 bills

subject to the conditions of Section 5.4. However, cash outs of 50 bills or less may be prepared using a bill counter in order to verify the amount before counting out by hand as per Subsection 6.3.11 e) v); and

vii) cashiers, when using a bill counter for patron cash outs, comply with the following procedures:

- the bill counter shall be tested by the advisor daily prior to use by running a bundle of 100 bills through the bill counter twice;
- the tests shall be documented in CasinoTrack on a Discrepancy Report noting the date, time, result and the name and registration number of the advisor. Any malfunction shall be reported to the casino facility licensee and the bill counter shall not be used until repaired;
- when counting patron cash outs, bill denominations shall be counted separately from highest to lowest denomination;
- patron cash outs shall be counted twice for verification in view of the patron and be witnessed and verified by the advisor;
- total amount of the cash out shall be announced and confirmation received from the patron. In the case of a dispute, the cash out will be verified by manual count; and
- bills shall be passed to the patron on the counter.

f) provide an independent check on cash cage operations and procedures;

g) ensure volunteers and charity workers complete the following duties: payouts, fills, credits, opening and closing procedures;

h) assign general manager or banker to witness player cash-outs during absence;

i) report directly to general manager, including all errors or procedural irregularities in the cash cage and submit a

Discrepancy Report with details to AGLC as required (see Section 5.10); *(Amended Jan. 2015)*

j) ensure any discrepancy in excess of $200 is reported to AGLC (see Section 5.10); *(Amended Jan. 2015)*

k) record the cash transactions as specified in Subsection 5.10.2;

l) witness or verify:

i) transfer of opening chip inventory and cash bankroll in cash cage from the facility licensee to the general manager and banker;

ii) banker issue and/or account for opening inventory of chips to games;

iii) banker transfer chips to games;

iv) banker receive chips from games;

v) banker transfer cash to cashier;

vi) cashier(s) transfer chips/cash to banker;

vii) balancing of cashier's float at shift change;

viii) outgoing banker count and record the chip/cash inventories at shift change with incoming banker;

ix) banker count and record cash fills from count room;

x) banker count and amalgamate chips and cash;

xi) transfer of chips/cash to general manager;

xii) all player cash outs over $200; may physically check chips and cash to verify accuracy or may appoint general manager or banker to verify cash-outs in their absence;

xiii) final counts for casino closing inventories and float to be returned to the operator or operator's representative;

xiv) transfers of chips/cash to and from the facility licensee's poker /slot bank;

xv) the cash-outs of dealer tips (if applicable).

m) may handle chips and cash:

i) to train volunteers or charity workers;

ii) to aid in verifying large cash or chip amounts if a volunteer or charity worker is experiencing difficulty with the transaction; and

iii) at banker and cashier shift changes.

Note: The transactions specified in Subsection 6.3.11 m) ii) and iii) shall be witnessed by the volunteer or charity worker who is responsible for that transaction.

n) direct procedures to be followed to isolate source of any accounting discrepancy that may occur;

o) obtain signature of general manager on all Discrepancy Reports;

p) remain in the casino facility while on duty and be available to the licensed charity at all times. If the cash cage advisor on duty has to leave the premises, the advisor shall appoint an alternate registered advisor (at the advisor's expense), holding a current registration, who is not already employed in the casino in some other capacity. The advisor shall also submit a Discrepancy Report (see Section 5.10);

q) adhere to the AML policies specified in Section 18; *(Added July, 2015)*

r) inform volunteers of the AML duties of a cash cage advisor and AML Volunteer (Charity) Program Information; and *(Amended Aug 2016; Added July, 2015)*

s) ensure volunteers and charity workers do not use electronic communication devices to take pictures or video while in the cash cage. *(Added July 2015)*

6.3.12 Count room advisor duties are defined as follows:

a) ensure procedures are consistent with the CTCOG and documents are verified as required;

b) work in co-operation with casino facility, staff, and volunteers to ensure a professional casino operation for the overall benefit and integrity of charitable gaming;

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c) train volunteers in, and advises on, proper procedures;

d) report directly to general manager, including all errors or procedural irregularities in the count room, submitting a Discrepancy Report with details to AGLC as required (see Section 5.10); *(Amended Jan. 2015)*

e) ensure any discrepancy in excess of $200 is reported to AGLC (see Section 5.10); *(Amended Jan. 2015)*

f) if required, handle chips and cash only to train volunteers or to verify count if discrepancy has occurred. This must be witnessed by general manager or count room staff;

g) ensure count room entrance is locked and access provisions enforced;

h) witness rake and drop box count and direct procedures to be followed to isolate source of any accounting discrepancy;

i) witness the following transactions in the count room:

   i) cash and chip fill(s) to banker;

   ii) preparation of bank deposit(s); and

   iii) preparation of cash transfers to, and where applicable receipt of cash transfers from, secure storage

j) obtain signature of general manager on all Discrepancy Reports;

k) remain in the casino facility while on duty; and

l) ensure volunteers and charity workers do not use electronic communication devices to take pictures or video while in the count room. *(Added July 2015)*

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6.4 GAMES MANAGER

6.4.1 General duties and responsibilities:

a) The games manager is the supervisor of the games area in the casino.

b) Each casino is required to have a registered games manager on duty when the casino is in operation.

c) *(Deleted Jan 2020)*

d) *(Deleted Jan 2020)*

e) The games managers are directly responsible to the general manager. *(Amended Jan 2020)*

f) The games manager has access to all areas of the casino, however, only has access to the cash cage and count room prior to the beginning of the casino on Day 1, at the end of the casino on Day 1, prior to the beginning of the casino on Day 2, at the end of the casino on Day 2, and, upon the request of the advisor, at any other time during the casino.

g) The games manager ensures that the games area is operated in accordance with the CTCOG.

h) The games manager must be present for casino float and chip verification with the general manager. (A designated key employee may take the place of games manager for casino float verification).

i) The games manager ensures chips from another casino facility are not accepted.

6.4.2 Specific duties and responsibilities of the games manager:

a) contact AGLC immediately of any and all suspicions or evidence of cheating at play, theft, unexplained monetary discrepancies of $500 or more or other illegal activity (see Sections 5.8 and 5.10); *(Amended Jan 2020)*

b) ensure conduct of games is in compliance with this handbook;

c) work in co-operation with advisors, charity workers and volunteers to ensure a professional casino operation for the overall benefit and integrity of charitable gaming;

d) ensure all casino workers are currently registered with AGLC;

e) ensure shift schedules are prepared, and co-ordinate gaming staff breaks;

f) *(Deleted Jan 2020)*

g) supervise pull of all drop boxes for interim and final counts or delegate registered gaming worker proxy and submit a Discrepancy Report;

h) ensure all drop boxes are attached to the correct table before and after each pull;

i) ensure security of games, including control and access to keys for chip trays;

j) ensure:

  i) tips are accepted only at table games;

  ii) tips are received only in the form of chips; *(Amended Jan 2020)*

  iii) tips of lower denominations are exchanged by dealers for higher denominations at games, under the supervision of a pit boss, pit supervisor or games manager;

  iv) each person eligible for tips places tips on table behind paddle or in a designated container marked “Tips”

  v) all collected tips are secured by an elected representative of the staff; and

  vi) tips are pooled and equitably distributed amongst staff eligible to receive tips as specified in the facility licensee’s established tip policy.

k) *(Deleted Jan 2021)*

l) provide pit supervisor with required forms;

m) receive cards following casino final close, ensures cards are kept in secure storage (minimum 14 days) and are defaced before releasing them;

n) report any error or procedural irregularities in games operations, including any breach of public order during casino to general manager ensuring a Discrepancy Report with details

is submitted to AGLC as required (see Section 5.10); *(Amended Jan 2015)*

o) submit proposed new house rules to AGLC for review at least 21 days before implementation;

p) remain available to the charity at all times during the event and maintain a visible presence;

q) remain in the casino facility at all times while on duty, but may be relieved for up to one hour for a meal break, provided:

   i) general manager is informed of the absence and is given the name of the alternate;

   ii) an alternate holding a current games manager registration number is appointed;

   iii) a sign-in/out record is maintained, and submitted with staff schedules to AGLC at the close of the casino; *(Amended Jan 2015)*

   iv) remains in the casino facility and is available during the meal break; and

   v) absence from the floor shall not occur during opening, pull of drop boxes, or closing.

r) report immediately the personal possession of chips by registered casino workers to AGLC, and immediately implement disciplinary action;

s) during absences longer than one hour, shall appoint an alternate games manager, holding a current registration and submit a Discrepancy Report;

t) perform the duties of the pit boss, and/or pit supervisor, if another games manager is available to cover off their games manager duties or when player levels will allow for the combination of the pit supervisor and pit boss duties without compromising the integrity of the games; and *(Amended Jan 2020)*

u) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.5 PIT SUPERVISOR

6.5.1 The pit supervisor is responsible to the games manager for supervision of the pit(s). Specific responsibilities are to: *(Amended Jan 2020)*

a) ensure table games are adequately staffed at all times during a casino event and breaks/shift changes are made according to schedule; *(Amended Jan 2020)*

b) ensure secure control over all keys to chip trays for all games in that pit; *(Amended Jan 2020)*

c) ensure pit bosses are actively monitoring games in their assigned areas;

d) *(Deleted Jan 2020)*

e) initiate fill/credits for individual games;

f) enforce access provisions to pit area;

g) participate in interim and final closing of games. Ensures keys to chip trays are transferred to games manager or secured in a key vault; *(Amended Jan 2020)*

h) monitor activity at all games to ensure each game is conducted in accordance with the CTCOG; (Amended Jan 2021)

i) ensure movement of chips in pit is consistent with this handbook, and that chips from another casino facility are not accepted;

j) *(Deleted Jan 2020)*

k) *(Deleted Jan 2020)*

l) perform the duties of the pit boss if a games manager or another pit supervisor is available to cover off for their absence or when business levels are adequate to allow for the combination of their duties with the pit boss role; *(Amended Jan 2020)*

m) *(Deleted Jan 2020)*

n) ensure the operational duties detailed in Subsection 9.1.3 of the CTCOG are carried out;

o) *(Deleted Jan 2020)*

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p) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

q) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.6 PIT BOSS

6.6.1 The pit boss is responsible to the pit supervisor for the supervision of table games. A pit boss: *(Amended Jan 2020)*

a) must not supervise more than a single pit at a time; *(Amended Jan 2020)*

b) must actively monitor the table games they have been assigned to and respond to any table issues within a reasonable period of time; *(Amended Jan 2020)*

c) must notify the pit supervisor immediately when increased player levels warrant additional pit supervision to ensure the integrity of the games is maintained; and *(Amended Jan 2020)*

d) may temporarily assume the duties of a dealer if there is adequate pit supervision to cover their pit boss duties. *(Amended Jan 2020)*

e) *(Deleted Jan 2020)*

f) *(Deleted Jan 2020)*

g) *(Deleted Jan 2020)*

6.6.2 Specific responsibilities of the pit boss are to:

a) participate in opening of games, ensuring all information entered into CasinoTrack is accurate; *(Amended Jan 2020)*

b) monitor activity at each game to ensure they are conducted in accordance with the casino facility licensee's rules of play and Section 9 of the CTCOG; *(Amended Jan 2021)*

c) ensure movement of chips in the pit complies with Section 7 of the CTCOG, and that dealers do not accept chips from another casino facility;

d) if monitoring games with card shuffling, observe shuffles to ensure they are conducted in accordance to Sections 9.8, 9.9 or 9.10;

e) acknowledge money-change for cash and colour-change for chips for all transactions over $500;

f) report to pit supervisor any error or procedural irregularity in games operations, including any breach of public order during

casino and submit a Discrepancy Report with details to AGLC as required (see Section 5.9); *(Amended Jan 2015)*

g) when supervising the poker chip inventories for fills/credits, ensure no other person has access to the poker chip inventories and that all fills/credits are done prior to going on breaks; and

h) *(Deleted Jan 2020)*

i) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.7 DEALER

6.7.1 The dealer is responsible for conduct of a game. Specific responsibilities are to:

a) conduct game in accordance with the casino facility licensee's rules of play and Section 9 of the CTCOG; *(Amended Jan 2021)*

b) sell chips to players in accordance with Section 9.6 and protect the security of the chips; *(Amended Jan 2020)*

c) witness chip transactions at game, ensuring chips from another casino facility are not accepted and accurately entering the information into CasinoTrack; *(Amended Jan 2020)*

d) if dealing for a game involving card shuffling, conduct shuffle in accordance with Subsections 9.8, 9.9 or 9.10;

e) await acknowledgement of money/colour change transactions over $500;

f) monitor player activity for unlawful behaviour;

g) wear pocket-less apron while in pit;

h) *(Deleted Jan 2020)*

i) for all games where players may touch the cards, shall maintain visual contact with the cards and count down cards at least once every 30 minutes to ensure all cards are present (except Super Pan Nine);

j) ensure cards are kept in good condition at all times;

k) *(Deleted Jan 2020)*

l) after each instance of handling chips or cash all registered casino personnel shall "dust off";

m) *(Deleted Jan 2020)*

n) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

o) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.8 DIRECTOR OF SECURITY

6.8.1 The director of security is responsible for the security and surveillance of the casino facility. Specific responsibilities include:

a) developing and implementing policies and procedures for security and surveillance operations which are consistent with the CTCOG;

b) preparing a surveillance plan;

c) hiring and training security guards and monitor room personnel;

d) ensuring the security guard duties are operated independently from the monitor room personnel duties;

e) ensuring security guards are properly trained in respect to arrest, detention and charter requirements;

f) ensuring all security and surveillance equipment is in proper working order;

g) ensuring control of access cards and/or keys to secured areas of the casino facility;

h) ensuring, in the event of adding, relocating or reconfiguring games, the camera coverage meets all AGLC standards as specified in Section 5.4;

i) reviewing all requests by casino staff, security or an AGLC contractor for access to any AGLC server room in accordance with Section 4.14; *(Ameded Jan 2017; Added Jan. 2015)*

j) contacting AGLC immediately of any suspected theft, cheating at play or other illegal activity (see Sections 5.8 and 5.10); *(Amended Jan. 2015)*

k) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

l) ensure duties are completed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

6.9 MANAGER OF SECURITY

6.9.1 The manager of security is responsible for the security and surveillance of the casino facility. Specific responsibilities include:

a) developing and implementing policies and procedures for security and surveillance operations which are consistent with the CTCOG;

b) preparing a surveillance plan;

c) hiring and training security guards and monitor room personnel;

d) ensuring the security guard duties are operated independently from the monitor room personnel duties;

e) ensuring security guards are properly trained in respect to arrest, detention and charter requirements;

f) ensuring all security and surveillance equipment is in proper working order;

g) ensuring control of access cards and/or keys to secured areas of the casino facility;

h) ensuring, in the event of adding, relocating or reconfiguring games, the camera coverage meets all AGLC standards as specified in Section 5.4;

i) reviewing all requests by casino staff, security or an AGLC contractor for access to any AGLC server room in accordance with Section 4.14; *(Amended Jan 2017; Added Jan 2015)*

j) ensuring access logs are maintained in accordance with Subsections 4.14.3, 5.5.16 and 5.11.6 and are made available immediately upon request by an AGLC inspector; *(Added Apr 2020)*

k) contacting AGLC immediately of any suspected theft, cheating at play or other illegal activity (see Sections 5.8 and 5.10); *(Amended Jan 2015)*

l) completing Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

m) ensuring duties are completed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.10 SECURITY GUARD

6.10.1 The security guard is responsible to the director/manager of security or games manager for the security and physical safety of:

a) the casino facility property;

b) the patrons of the casino facility; and

c) the casino workers (paid and volunteer) of the casino facility.

6.10.2 In casinos with 16 table games or more, a minimum of three security guards are required to be on duty between the hours of 10:00 am to 3:00 am or until all monies are secured and all casino staff and volunteers have exited the casino. *(Amended Apr 2014)*

6.10.3 In casinos with 15 table games or less, a minimum of two security guards are normally required to be on duty between the hours of 10:00 am to 3:00 am or until all monies are secured and all casino staff and volunteers have exited the casino. If another registered gaming worker completes the duties outlined in Subsection 6.10.7 b) to d), there must be one registered security guard on duty with this individual. *(Amended Apr 2014)*

6.10.4 In cases of 24 hour poker rooms operating after 3:00 am a minimum of one security guard is required. If a security guard is used for CCTV monitoring of the poker room between 3:00 am and 10:00 am, a second security guard is required on the floor. Casinos without poker rooms require one security guard during non-operating hours.

6.10.5 Hired security guards must be registered with AGLC. Registered casino security guards may hold a dual registration only with a Racing Entertainment Centre security guard position.

6.10.6 To become registered with AGLC, a security guard will be required to provide the following:

a) Registration Application for Gaming Worker - Casino;

b) current photograph; and

c) police security clearance.

SECTION: 6. REGISTERED GAMING WORKERS

6.10.7 Specific duties of a security guard are to:

a) protect chips and cash by:

i) identifying chip runners prior to games opening;

ii) upon the request of the general manager, assist volunteer chip runners with chip transfers when the chip runner is physically unable to transfer the chips;

iii) escort chip runners from cash cage to pit entrance for fills, and the reverse for credits; and *(Amended Jan 2015)*

iv) accompany general manager during pull of drop boxes.

b) enforce age limit and liquor provisions;

c) maintain security at all entrances to which the public has access throughout event;

d) ensure persons prohibited from entering or remaining in a casino facility do not enter or remain in the casino;

e) provide security in the immediate area of the cash cage at closing and the count room during all counts;

f) provide security when cash boxes and bill acceptors are pulled from gaming terminals and taken to the count room, including during emergency pulls of cash boxes and bill acceptors; *(Amended Apr 2018, Added Jan 2015)*

g) provide security related to gaming terminals and TRKs as requested by the slot manager or slot supervisor; *(Amended Apr 2018, Added Jan 2015)*

h) upon request from the director or manager of security (see Section 4.14), provide an escort for approved casino staff, security or an AGLC contractor to access any AGLC server room; *(Amended Jan 2017; Added Jan 2015)*

i) assume crowd control duties (i.e., fire regulations) during casino;

j) be trained in the use and operation of CCTV equipment and the alarm monitoring program; *(Amended Apr 2018)*

k) ensure access logs are maintained in accordance with Subsections 4.14.3, 5.5.16 and 5.11.6 and are made available immediately upon request by an AGLC inspector; *(Added Apr 2020)*

l) provide any assistance required by pit supervisor in monitoring suspicious activities. If cheating at play is suspected, must ensure games manager and AGLC are advised immediately and secure all evidence for prosecution (see Section 5.8); *(Amended Jan 2015)*

m) complete Discrepancy Reports as required (see Section 5.10);

n) be knowledgeable in all games procedures;

o) follow procedures set out on counterfeit money and cheating at play;

p) remain on duty, and be alert, until all monies are secured and all casino staff and volunteers have exited the casino; and

q) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.11 SURVEILLANCE MANAGER

6.11.1 The surveillance manager is responsible for the surveillance of the casino facility. Specific responsibilities include:

a) developing and implementing policies and procedures regarding surveillance operations which are consistent with the CTCOG;

b) preparing a surveillance plan;

c) hiring and training monitor room personnel;

d) ensuring the security guard duties are operated independently from the monitor room personnel duties;

e) ensuring all surveillance equipment and the alarm monitoring programs are in proper working order; *(Amended Apr 2018)*

f) ensuring access logs are maintained in accordance with Subsections 5.5.16 and 5.11.6 and are made available immediately upon request by an AGLC inspector; *(Added Apr 2020)*

g) ensuring, in the event of adding, relocating or reconfiguring games, the camera coverage meets all AGLC standards as specified in Section 5.4;

h) contacting AGLC immediately of any suspected theft, cheating at play or other illegal activity (see Sections 5.8 and 5.10); *(Amended Jan 2015)*

i) completing Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

j) ensuring duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

6.12 MONITOR ROOM PERSONNEL

6.12.1 Monitor room personnel must be registered with AGLC. The following are the requirements for this position: *(Amended Apr 2020)*

a) be registered with AGLC;

b) have experience and training from the facility licensee in casino gaming disciplines, including CCTV equipment and the alarm monitoring program;

c) maintain a high level of knowledge of all casino and slot machine games, opening and closing of games, cash cage, count room and slot bank procedures and methods of cheating at play;

d) ensure the casino camera surveillance, alarm monitoring program, and recording equipment are in good operational condition. Maintain a numbered page log book, dating and initialling the routine checks completed; *(Amended Apr 2018)*

e) ensure that live camera monitoring is in place and a video tape recording of casino operations, which may impact on the security and safety of assets, personnel and patrons, is kept from the time the float and inventory is turned over to the casino licensee until count room processes are finished, to include:

i) casino table games; *(Amended Jan 2015)*

ii) gaming terminals; *(Added Jan 2015)*

iii) cash cage and count room;

iv) floor security procedures;

v) slot areas; and

vi) bill counters and changers.

f) enforce access provisions to the monitor room and ensure access logs are maintained in accordance with Subsections 5.5.16 and 5.11.6 and are made available immediately upon request by an AGLC inspector; *(Amended Apr 2020)*

g) communicate with the games manager and/or pit supervisor to identify and monitor suspected criminal activities and suspicious activities;

h) monitor and respond to gaming terminal alarms using the alarm monitoring program; *(Amended Apr 2018, Added Jan 2015)*

i) notify and assist as required AGLC and/or the local police authority, as soon as practicable of all potential or observed criminal activity and be prepared to provide evidence in a court of law;

j) notify the security guard and/or games manager when detecting persons in the casino who are prohibited from entering or remaining in the casino;

k) secure, label, and control all casino recordings for a minimum period of 15 days; *(Amended Aug 2019)*

l) maintain a control log for all recordings secured identifying the recording by control number, the event date and the employee operating the camera equipment; *(Amended Aug 2019)*

m) liaise with AGLC personnel to stay abreast of trends in casino cheat-at-play methodology, suspects, and other casino security concerns;

n) maintain a log of suspects and their activity in the format prescribed by AGLC;

o) perform administrative and clerical duties inherent in the above duties;

p) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

q) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

6.13 SLOT MANAGER

(Amended Jan 2015)

6.13.1 The slot manager is responsible to games manager for supervision of the gaming terminal operation. A slot manager, or slot supervisor, must be present from opening of the slots and VLTs until closing of the gaming terminals and all related duties are completed. Specific responsibilities include:

a) be responsible for all areas of the gaming terminal operation, including staff operations and financial controls;

b) maintain and record schedules for gaming terminal personnel;

c) ensure that gaming terminal personnel perform prescribed duties;

d) ensure slot cashier and attendant(s) are aware of the type and denominations of casino chips, and that they do not accept chips from another casino;

e) settle patron disputes based on technical recommendations;

f) ensure hand pays are made to jackpot winners;

g) ensure soft count is conducted and provide soft count figure to AGLC systems personnel; *(Amended Apr 2018)*

h) conduct inquiries into patron claims or complaints and call AGLC Hotline to dispatch a technician when required; *(Amended Feb 2021)*

i) in a casino with 15 or less table games, perform the duties listed under Subsection 6.10.7 b) to d). If these duties are undertaken, they are the only duties this person may perform for the duration of that specific casino event;

j) contact AGLC immediately of any suspected theft, cheating at play, or other illegal activity (see Sections 5.8 and 5.10);

k) ensure security of gaming terminal keys and employee cards as prescribed in Section 13.2; *(Added Apr 2018; Amended Feb 2021)*

l) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

m) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

6.14 SLOT SUPERVISOR

(Added Jan 2015)

6.14.1 The slot supervisor is responsible to the slot manager for supervision of the gaming terminal operation. The job description below identifies the duties which the slot supervisor may assist the slot manager with; however, the overall responsibility for these duties remains with the slot manager. In the absence of the slot manager, a slot supervisor must be present from opening of the slots and VLTs until closing of the gaming terminals and must ensure that all related duties are completed. Specific responsibilities include:

a) ensure that gaming terminal personnel perform prescribed duties;

b) ensure slot cashier and attendant(s) are aware of the type and denominations of casino chips, and that they do not accept chips from another casino;

c) settle patron disputes based on technical recommendations;

d) ensure hand pays are made to jackpot winners;

e) ensure soft count is conducted and provide softcount figure to AGLC Systems personnel; *(Amended Apr 2018)*

f) conduct inquiries into patron claims or complaints and request a technician when required;

g) in a casino with 15 or less table games, perform the duties listed under Subsection 6.10.7 b) to d). If these duties are undertaken, they are the only duties this person may perform for the duration of that specific casino event;

h) must ensure slot manager and AGLC are advised immediately of any suspected theft, cheating at play or other illegal activity (see Sections 5.8 and 5.10);

i) generate all end of day reporting to accommodate daily reconciliation; *(Added Apr 2018)*

j) process and pay TITO tickets over a value of $5,000; *(Added Apr 2018)*

k) perform the duties of the slot cashier as required; *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

l) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

m) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

6.15 SLOT OPERATOR (SLOT CASHIER)

(Amended Jan 2015)

6.15.1 The slot operator (slot cashier) works in the slot cash cage and is responsible to the slot supervisor. Duties are to:

a) provide change to patrons and redeem coin for cash;

b) maintain and balance a float;

c) redeem and pay TITO tickets in accordance with Section 16.5 and, if applicable, VLT cash-out tickets in accordance with Sections 17.5 and 17.6; *(Amended Feb 2021)*

d) record all hand pays and keep hand pay form for balancing float;

e) in a casino with 15 or less table games, perform the duties listed under Subsection 6.10.7 b) to d). If these duties are undertaken, they are the only duties this person may perform for the duration of that specific casino event;

f) pay any valid offline tickets presented at the cash cage and redeem when the system is online; *(Amended Feb 2021; Added Apr 2018)*

g) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

h) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

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6.16 SLOT OPERATOR (SLOT ATTENDANT)

(Amended Jan 2015)

6.16.1 The slot operator (slot attendant) works on the gaming floor and is responsible to the slot supervisor. Duties are to:

a) be familiar with basic operation of each game and provide assistance and information to patrons regarding game rules, casino rules, etc.;

b) perform TITO paper (slot) and ticket stock (VLT) refills, clear paper jams, clean gaming terminal screens and button panels and report malfunctions or maintenance requirements of gaming terminals to the slot manager;

c) call in the slot supervisor to handle any patron disputes;

d) make hand pays to jackpot winners;

e) in a casino with 15 or less table games, perform the duties listed under Subsection 6.10.7 b) to d). If these duties are undertaken, they are the only duties this person may perform for the duration of that specific casino event;

f) complete Discrepancy Reports as required (see Section 5.10); and *(Added Apr 2018)*

g) ensure duties are performed in accordance with AML procedures (see Section 18). *(Added Apr 2018)*

SECTION: 6. REGISTERED GAMING WORKERS

6.17 SLOT OPERATOR (SLOT COUNT ROOM ATTENDANT)

(Added Jan 2015, Amended Feb 2021)

6.17.1 The slot operator (slot count room attendant) works in the slot count room and is responsible to the slot supervisor. In accordance with approved count room procedures, duties are to:

a) ensure all cash boxes/bill acceptors are in the count room prior to processing;

b) empty all contents from cash boxes/bill acceptors into sorter;

c) fill TRK cassettes in secure count room;

d) upload soft count and open count room;

e) upload XML file for the gaming date required;

f) generate 'questionable voucher details' and 'error details'. If either produce a list:

i) close room;

ii) reconcile; and

iii) balance.

g) sign off count room;

h) view soft count reports;

i) accept the count room;

j) send email to AGLC Finance stating the casino, the date of the count, and that it is completed;

k) in a casino with 15 or less table games, perform the duties listed under Subsection 6.10.7 b) to d). If these duties are undertaken, they are the only duties this person may perform for the duration of that specific casino event;

l) complete Discrepancy Reports as required (see Section 5.10); and

m) ensure duties are performed in accordance with AML procedures (see Section 18).

SECTION: 6. REGISTERED GAMING WORKERS

6.18 CASINO MANAGER

6.18.1 Only one person employed by the casino facility licensee may hold the position of casino manager. The following are the requirements for this position:

a) be registered with AGLC;

b) must comply with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies; and

c) shall not enter into nor attempt to enter into operational procedures of games pit unless they hold a valid games manager registration for the type of casino they are working in, that is, a games manager (major) for 16 table games or more or a games manager (minor) for 15 tables games or less.

SECTION: 6. REGISTERED GAMING WORKERS

6.19 CASINO FACILITY OPERATOR REPRESENTATIVE

6.19.1 This position is responsible to the games manager. The following are the requirements for this position:

a) shall be the casino facility licensee's designate who shall issue and verify opening and closing casino cash floats and opening and closing chip inventory if necessary;

b) be registered with AGLC;

c) must comply with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies;

d) shall not have any authority for rulings or decisions on casino table games; and

e) shall be allowed into the cash cage or count room when issuing or receiving casino float and/or casino chip inventory.

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

7.1 OPENING – FIRST DAY

7.1.1 Initialize event forms:

a) The general manager shall initialize the casino event by:

i) entering licence number displayed on the charity's licence;

ii) selecting their name from the list of approved volunteers;

iii) scanning an ID card for their usage; and

iv) entering the system access code that is printed on the casino licence.

b) The general manager shall assign specific positions to the volunteers from the list of volunteers submitted to AGLC prior to the event. Volunteers shall be issued a card with a bar code, which serves as identification to the CasinoTrack system. The card is considered the volunteer's signature and cannot be transferred. The volunteer card is activated when they are assigned a position in the CasinoTrack system. Charity workers will sign in as registered gaming workers and be assigned specific duties.

c) The general manager shall enter the charity's casino account banking information (bank, branch, and account number) into the CasinoTrack system (if necessary).

d) The general manager, in consultation with the games manager, shall verify the game table mix. If the table mix has changed, the general manager shall make the required changes on the CasinoTrack system. The revised table mix will be printed and signed by the games manager, general manager, and cash cage advisor. Changes can only be made at the start of an event.

7.1.2 Casino facility licensee gives cash float to banker. The banker, witnessed by the general manager and the advisor:

a) receives from the games manager or designate, the opening cash bankroll; and counts; and

b) records details of opening cash bankroll on CasinoTrack system.

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

7.1.3 Casino facility licensee gives chip float to banker. The opening chip inventory shall be accepted and accounted for by the casino event charity licensee, as follows:

a) If the entire opening chip inventory is located in the cash cage, the banker witnessed by the general manager and the advisor receives and counts opening chip inventory from the games manager or designate and records details on CasinoTrack system.

b) If part of the opening chip inventory is located in the cash cage, and the balance is locked in chip trays at the games or in the chip caddy:

i) the general manager or designated chip runner will:

- witness the games manager unlock the chip tray and count chips;
- for each chip tray, record totals of each chip denomination on CasinoTrack system.
- witness the games manager lock tray lid onto tray;
- where chip trays are not secured to games, locked chip trays shall be stored in a secure chip caddy, access to which is limited to the general manager; and
- the games manager shall place a red closer card into the chip tray indicating the tray has been verified and accepted by the charity;
- games manager's duties as described in this section may be assumed by the pit supervisor with a valid games manager registration.

ii) the banker, witnessed by the advisor and general manager:

- receives and counts opening chip inventory in cash cage; and
- records these totals on CasinoTrack system

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

7.1.4 Opening games:

a) Where total opening chip inventory is received in the cash cage:

i) the banker, witnessed by the advisor:

- prepares opening chip fills;
- records total opening on CasinoTrack system;
- from cash cage, distributes opening chip fills using chip runners only to games staffed with dealers; and
- remaining chip openers either stay with banker until required at games or, if chips are in locked chip trays, may be transferred to a secure chip caddy by the banker and are kept in a pit until required at games. Access to caddy is limited to the general manager.

ii) the chip runner delivers chips to corresponding games; and

iii) at each game, the pit boss or games manager, witnessed by chip runner and dealer, verifies chips on the CasinoTrack system and places red closed card into tray.

b) Where the opening chip inventory is received at the cash cage and games:

i) where a dealer is on duty at a game, the pit boss or games manager, witnessed by the chip runner and dealer, unlocks the chip tray, verifies chips and removes red closer card from tray.

7.1.5 Cash transfer - banker to cashiers (opening)

a) The banker, witnessed by the advisor:

i) prepares fill from banker's cash bankroll;

ii) records details on CasinoTrack system;

iii) delivers cash to the cashier. In order to balance, all transactions that involve the banker must be recorded on CasinoTrack, including making change for cashiers.

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

b) The cashier:

i) counts cash; and

ii) records details on CasinoTrack system.

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7.2 CASH/CHIP TRANSFERS - BOTH DAYS

7.2.1 Chip transfer - cashier to banker:

a) The cashier:

i) counts chips;

ii) records details on CasinoTrack system; and

iii) delivers chips to banker.

b) The banker, witnessed by the advisor:

i) receives chips from cashier;

ii) assisted by the advisor and witnessed by cashier, counts chips; and

iii) records details on CasinoTrack system.

7.2.2 Chip/cash transfer - banker to banker:

a) At shift change, outgoing banker, witnessed by the general manager and advisor shall:

i) count chip and cash inventories;

ii) record details on CasinoTrack system.

b) The incoming banker, witnessed by the general manager and advisor shall:

i) verify chip and cash inventories;

ii) record details on CasinoTrack system.

c) The general manger shall end the outgoing banker's shift on the CasinoTrack system. A non-zero account balance will either be a shortage or overage. The Banker's Daily Master Chip/Cash Control is printed and signed by the outgoing banker and the advisor.

7.2.3 Chip transfer - banker to games (fill):

When a game requires chip/coin:

a) The pit supervisor:

i) requests a chip runner to deliver chips to a games table on the CasinoTrack system; and

ii) summons chip runner.

b) The chip runner proceeds to cash cage.

c) The banker:

i) makes up the fill request from details on CasinoTrack system;

ii) records the amounts as "banker to chip runner" on CasinoTrack and transfers chip/coin to chip runner; and

iii) witnesses chip runner record details on CasinoTrack system.

d) The chip runner, escorted, or assisted, by security:

i) receives chips from banker;

ii) counts chips and records details on CasinoTrack;

iii) delivers chips/coin to designated game;

iv) gives chips to pit boss; and

v) witnesses dealer and pit boss verify fill on CasinoTrack system.

Note: If the chip runner is physically unable to transfer the chips, the general manager may request the assistance of security.

e) The pit boss:

i) records details on the CasinoTrack system; and

ii) obtains dealer witness on CasinoTrack system.

f) The banker:

i) visually verifies transaction has been completed on CasinoTrack system.

7.2.4 Chip transfer - games to banker:

When a game has an excess of chips/coin: (credits from the game may be made up in stacks of any amount):

a) The pit supervisor:

i) summons chip runner;

ii) records details of credit on CasinoTrack system; and

iii) obtains dealer witness on CasinoTrack system.

b) The chip runner:

i) at the game, witnessed by the pit boss, receives chips/coin from the dealer, records details on CasinoTrack system; and

ii) delivers chips/coin the banker.

Note: If the chip runner is physically unable to transfer the chips, the general manager may request the assistance of security.

c) The banker:

i) receives chips/coin from the chip runner; and

ii) records details of credit on CasinoTrack system.

7.2.5 Chip transfer - count room supervisor to banker (fill):

a) The rake boxes are to be counted first and chips are transferred to the banker immediately.

b) The count room supervisor, witnessed by the advisor:

i) prepares the chips to be transferred;

ii) records details on CasinoTrack system; and

iii) delivers chips. If the Count Room is not directly accessible to the cashier's cage, transfers chips with security guard present.

c) The banker, witnessed by the general manager and the advisor:

i) receives and counts chips; and

ii) records details of credit on CasinoTrack system.

7.2.6 Cash transfer - count room to banker:

a) The banker notifies general manager and count room supervisor that cash is required in cash cage and supplies details for an interim fill.

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b) The count room supervisor, witnessed by the advisor:

i) prepares the cash to be transferred;

ii) records details on CasinoTrack system; and

iii) delivers cash to banker. If the count room is not directly accessible to the cashier's cage, transfers cash with security guard present.

c) The banker, witnessed by general manager and advisor:

i) receives and counts cash; and

ii) records details on CasinoTrack.

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

7.3 CLOSING – FIRST DAY

7.3.1 Closing games:

a) The general manager assigns work patterns to chip runners.

b) The pit supervisor, witnessed by the dealer and chip runner (repeat procedure for all games):

i) counts chips/coin, records details of credit on CasinoTrack system; and

ii) places red closer card in chip tray and locks the lid on the tray.

c) The chip runner:

i) records details on CasinoTrack system; and

ii) where chip trays are not secured to the tables, delivers chips to overnight chip storage.

d) Where games' chip inventory remains at games, after all games are closed the chip runner or the general manager and games manager verifies all trays, removes red closer card from the tray and records details on CasinoTrack system.

e) If an error is detected, a game table adjustment transaction is recorded on CasinoTrack. If the adjustment is for $100 or more a Discrepancy Report must be completed and forwarded to AGLC.

f) The general manager:

i) where chip trays are not secured to tables, ensures chips are secured in locked storage overnight, and receives keys;

OR

where chip trays are secured to tables, all trays have locking lids, and the premises is equipped with 24-hour security, ensures all chips not secured at games are in secured locked storage overnight, and receives keys; and

ii) receives and retains until last day of casino, all completed and voided reports from the games manager.

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7.3.2 Chip/cash transfer - cashier to banker (credit):

a) The cashier, witnessed by the banker and advisor:

i) counts cash/chips;

ii) records details on CasinoTrack system; and

iii) delivers cash/chips to Banker.

b) The banker, witnessed by the cashier and advisor:

i) receives chips/cash from cashier;

ii) assisted by the advisor and witnessed by the cashier, counts chips/cash;

iii) records details on CasinoTrack system; and

iv) prints cashiers daily record and all sign.

7.3.3 Chip transfer - banker to general manager casino facility licensee:

a) The banker, witnessed by the advisor and general manager:

i) counts chips; and

ii) records details on CasinoTrack system.

b) The banker returns chips to games manager or designate. A chip balance remaining in the bankers account is either an overage or shortage.

c) The games manager or designate:

i) verifies chips;

ii) records details on CasinoTrack system; and

iii) safely secures chips in locked overnight security and retains sole access.

7.3.4 Closing cage bankroll:

a) The banker, witnessed by the general manager and the advisor:

i) determines cash required for next day's opening cage bankroll; and

ii) records details on CasinoTrack system (banker to safe).

b) The general manager, witnessed by the advisor:

i) verifies cash required for next day's opening bankroll; and

ii) records details on CasinoTrack system.

c) The banker secures cash in overnight secure storage until arrival of next day's opening banker.

7.3.5 Banker deposits to outside bank:

a) The banker prepares bank deposit for all remaining cash not required for next day's opening bankroll by:

i) counting the cash for bank deposit; and

ii) recording details on CasinoTrack system.

b) The general manager, witnessed by the advisor:

i) verifies the cash for the bank deposit;

ii) records details on the CasinoTrack system; and

iii) ensures the deposit is safely secured in overnight storage.

c) The general manager will end the banker's shift on the CasinoTrack system. A non-zero account balance will either be an overage or shortage. The Banker's Daily Master Chip/Cash Control Report is printed and signed by the banker and advisor.

7.3.6 Transfer and custody of reports:

The general manager:

a) receives and retains until last day of casino all completed and voided reports from banker; and

b) reviews reports with the banker and advisor. If required, provides an explanation of overage or shortage in chips or cash and details of corrective actions taken on a Discrepancy Report.

c) Delivers the report to the count room supervisor for completion.

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

7.4 OPENING - SECOND DAY

7.4.1 Transfer of reports, opening chip inventory/cash bankroll - games manager to banker and general manager:

a) The general manager delivers opening chip inventory, opening cage bankrolls and previous day's reports as required to the banker and games manager.

b) The banker, witnessed by the general manager and advisor:

i) counts opening chip inventory;

ii) records totals on CasinoTrack system; and

iii) at end of shift, attaches original and duplicate Fill/Credit Slip to original and duplicate Banker's Daily Master Chip/Cash Control respectively.

c) The banker, witnessed by the general manager and advisor:

i) counts opening cage bankroll and records information on CasinoTrack system; and

ii) at end of shift, attaches to original Banker's Daily Master Chip/Cash Control, original Fill Slips from opening cage bankroll.

d) The banker witnessed by the advisor, records details of chip inventories under columns one and three, and cash bankrolls under columns five and seven of Bankers' Daily Master Chip/Cash Control, and adjusts running balances, columns four and eight.

7.4.2 Cash transfer - banker to cashiers as per Subsection 7.1.5.

7.4.3 Distribution of chips to games where closing chip trays are in overnight chip storage:

a) The general manager removes chips from overnight security.

b) The chip runner transfers chips to games.

c) Where a dealer is on duty at a game, the pit boss or games manager witnessed by the chip runner and dealer, verifies chips on CasinoTrack System.

SECTION: 7. OPERATING PROCEDURES - CASH CAGE

d) The remaining chips and opener cards to be transferred to chip caddy with sole access limited to the general manager.

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7.5 CLOSING - FINAL DAY

7.5.1 Closing games:

a) The general manager assigns work patterns for chip runners.

b) The pit supervisor, witnessed by the dealer and chip runner (repeat procedure for all games):

i) inserts coin into drop box;

ii) counts chips;

iii) records details on CasinoTrack; and

iv) places red closer card in chip tray and locks the lid on the tray.

c) The chip runner:

i) records details on CasinoTrack system.

ii) delivers chips and corresponding duplicate (Opener) to banker (not applicable if chip inventory is to remain at the games); and

iii) after all games are closed, signs Closing Game Inventory of Chips and delivers it to the banker.

d) Where chip inventory is returned to the banker. The banker, witnessed by the general manager:

i) verifies chips on CasinoTrack. Chip runners may assist if verification is performed outside cash cage; and

ii) when the verification procedure is finished, amalgamates all closing games chips, enters the information on the CasinoTrack system and verifies with the general manager and chip runner if applicable.

e) Where games' chip inventory remains at games, after all games are closed the chip runner the general manager and games manager verify all trays and record details on CasinoTrack.

f) If an error is detected, a game table adjustment transaction is recorded on CasinoTrack. If the adjustment is for $100 or more a discrepancy report must be completed and forwarded to AGLC.

OPTIONS:

1. The general manager may appoint a chip runner to form an additional team with another casino facility licensee representative. Up to three teams may be formed. Gaming workers shall not verify games in which they participated in the closing of.

2. If the closing table inventory is used as opening table inventory for the next casino, the casino facility licensee keeps a photocopy of all Opener Cards and Closing Game Inventory of Chips for verification.

   The general manager receives all completed, reports from the games manager.

7.5.2 Chip/cash transfer - cashier to banker (credit): see Subsection 7.2.1.

7.5.3 Closing cage bankroll:

a) The banker or count room supervisor, witnessed by the general manager and the advisor:

   i) amalgamates and counts all cash in cash cage;

   ii) records details on CasinoTrack system;

   iii) has the games manager verify the next day's float on the CasinoTrack system;

   iv) prints bank deposit slip for final closing cage bankroll, places both slip and cash into deposit bag and locks or seals;

   v) records details of deposit and has the games manager verify the next days float on the CasinoTrack. Any balance remaining is an overage or a shortage and this amount shall be recorded on the CasinoTrack system; and

   vi) transfers deposit bag to the general manager for secure storage pending transfer to the bank.

7.5.4 Chip transfer - banker to casino facility licensee:

a) Where all game chip inventories are returned to the banker, the banker, witnessed by the advisor and general manager:

   i) amalgamates and counts all chips;

ii) records details on the CasinoTrack system. Any balance remaining is an overage or shortage and is recorded on the CasinoTrack system; and

iii) delivers to the facility designate all chips for return to casino facility licensee including keys to chip caddy.

b) Where games' chip inventory remains in the games area; the banker, witnessed by the advisor and general manager:

i) amalgamates and counts all chips in cash cage;

ii) records details on CasinoTrack system. Any balance is either an overage or shortage and is recorded on the CasinoTrack system;

iii) delivers to the general manager all chips in the cash cage for return to the casino facility licensee; and

iv) chips at games shall not be disturbed until the general manager has been assured by the banker and the advisor that the closing chip inventory is in order and ready for transfer to the casino facility licensee including keys to the chip caddy.

7.5.5 Closing accounting records: see Subsection 7.3.6.

7.5.6 Transfer and custody of reports:

a) The general manager:

i) receives all completed reports from the banker and pit supervisor; and

ii) if required, provides on a Discrepancy Report, an explanation of overage or shortage in chips or cash and details of corrective action taken;

iii) generates the following reports:

- Daily Summary, to be signed by the banker, count room supervisor, general manager, cash cage advisor and count room advisor for distribution to the licensed charity; *(Amended June, 2015)*
- Master Revenue, to be signed by the count room supervisor and the count room advisor, for

distribution to the casino facility licensee, licensed charity; and *(Amended June, 2015)*

- Reconciliation of Casino Win/Loss and Pool Contributions, to be signed by the count room/cash cage advisor and the general manager, for distribution to the licensed charity. *(Amended June, 2015; Amended Oct, 2015)*

iv) if written changes are made to the reports noted above and are not entered in CasinoTrack, the amended reports must be submitted to AGLC. *(Added June, 2015)*

SECTION: 8. OPERATING PROCEDURES - COUNT ROOM

8.1 PULL OF DROP BOXES

8.1.1 The general manager may, in consultation with the banker and the advisor, order a pull of drop boxes when 60 per cent of the opening cash bankroll has been paid out, or four hours prior to close, whichever occurs first.

8.1.2 If cash is required before the above criteria are met, an emergency pull may be done. The Regulatory Division shall be notified of the number of games being pulled and the staff conducting the count (a minimum of two volunteer staff, an advisor and games manager are required). A Discrepancy Report shall be completed.

8.1.3 The general manager shall:

a) ensure the count room staff and the advisor are in position, and are supplied with the keys to drop boxes;

b) with a security guard, accompany and witness the games manager conduct the pull of drop boxes assisted by chip runner(s) as deemed necessary, (for the purposes of a count, all drop boxes shall be removed from games); and

c) with the security guard, deliver all drop boxes to the count room.

SECTION: 8. OPERATING PROCEDURES - COUNT ROOM

8.2 INTERIM COUNT

8.2.1 The count may be performed in any one of two ways:

a) machine count, machine verification;

b) manual count and manual verification.

8.2.2 An appropriate number of money counting machines will be provided to each casino by AGLC. Money counting machine(s) must always be used.

8.2.3 The drop box count shall be conducted in the count room as follows:

a) The count room advisor ensures all required staff (reference Subsection 8.1.2) are present and prepared to conduct the count. If the entire top of the count table is transparent, staff may sit while the count is in progress, otherwise, unless confined to a wheelchair, all staff handling cash and chips shall stand.

b) The sorter receives the drop box keys from the count room supervisor, and for each drop box:

i) places the box on the counting table, unlocks and empties the contents onto the table;

ii) shows the empty box to the video surveillance camera, one other count room staff or the count room advisor to satisfy them that nothing remains in the box, and removes it from the table;

iii) the next box shall not be unlocked until all cash and chips from a box has been sorted and placed into a bin with a white Drop Box ID Card and passed to the counter; and

iv) if a drop box is empty, a white Drop Box ID Card shall be placed into a bin and passed to the counter. The count room supervisor shall confirm, witnessed by the advisor, that the game has not been opened.

c) The sorters (counter may assist) sort bills into separate piles by denomination and bills are placed into the counting bin. Chips are sorted by value.

d) The counter receives bills from the sorter, and consecutively for each denomination, starting with the highest denomination, counts all bills either using a money counting machine, or manually. Both counters must confirm all manual counts. Coins and chips are counted separately.

e) The counter, for each denomination of bills, and starting with the highest denomination, shall use the stranger detector on the money counting machine or fan all bills to verify the accuracy of the sort. Count bills using the money counting machine, ensures the recording counter has entered the correct amount of the count into the CasinoTrack system and then pass the bills to the amalgamator.

f) The counters shall for each box:

i) count and record the quantities of coin;

ii) tell the count room supervisor the coin amounts;

iii) amalgamate the coin; and

iv) record the totals counted by the counter on the CasinoTrack system.

g) The amalgamator, after the count procedure is completed for each denomination shall:

i) receive bills, coin, and chips from the counter, and using a money counting machine, verify each denomination as in e) above;

ii) receive bills, coin, and chips from the counter, and after verifying the count with a counting machine, shall have the count room supervisor record the details on the CasinoTrack system; only when the transaction has been completed on the CasinoTrack system:

- amalgamate bills in bundles of one hundred, until less than 100 bills remain;
- coin is amalgamated and placed into rolls by denomination;
- count each bundle to ensure that each full bundle contains one hundred (100) bills; and

- ensure all bills are face up.

h) The advisor witnesses, verifies its accuracy, and ensures security of the count:

i) count room supervisor shall for each drop box:

ii) record the total counted by the amalgamator on the CasinoTrack system;

iii) ensure that the totals from the counter and the amalgamator are correct and match;

iv) in the event of a discrepancy between the two, the amalgamator shall recount the bills in question and the confirmed count shall prevail; and

v) receive bills, coin and chips from the counter and, when using a money counting machine, verify each bundle as in e) above; or

vi) at the conclusion of the count, the count room supervisor shall generate the count room Drop Box Verification Report.

8.2.4 Procedure - poker games:

a) The rake box may become full and require more than one interim pull. Standard interim pull procedures are used. The boxes are stored in the count room under camera surveillance, until first count.

b) The rake boxes are counted before the drop boxes as follows:

i) the rake box is opened, emptied and counted using standard counting procedures;

ii) the recording counter enters the details on the CasinoTrack system;

iii) the count room supervisor enters the details on the CasinoTrack system;

iv) If more than one interim pull of the rake boxes is done, all chips from the game are recorded on one transaction; and

v) chips are immediately transferred to the banker.

c) The rake chips are transferred to the banker following standard chip transfer procedures.

d) The casino facility licensee is financially responsible for overages/shortages on poker games and will submit to the Regulatory Division, Discrepancy Reports for amounts in excess of $25.

8.2.5 *(Deleted Aug 2020)*

8.2.6 After the cash from all boxes is counted and amalgamated:

a) The count room supervisor shall:

i) ensure all information entered into the CasinoTrack system is correct;

ii) print all reports from the CasinoTrack system, and

iii) sort white Drop Box ID Cards numerically by game number to verify all boxes have been removed from games and received in the count room, and that each box has been opened and counted.

b) The advisor, after cash in all boxes has been counted and while cash is being amalgamated, shall verify that all recorded totals for each denomination of cash and chips is correct.

c) The count room supervisor, witnessed by the general manager and advisor, shall:

i) prepare chip fill to banker immediately after count is completed;

ii) if required, prepare cash fill to banker;

iii) prepare deposit and seal remaining cash in deposit bag; and

iv) enters details on CasinoTrack system.

d) The general manager, witnessed by both the count room supervisor and the advisor, or banker and the advisor (depending on location of secure storage), shall place deposit in secure location.

e) count room supervisor shall deliver drop box keys and copies of the printed reports to the general manager.

SECTION: 8. OPERATING PROCEDURES - COUNT ROOM

8.2.7 Cash/chip transfer - count room supervisor to banker

a) The banker shall notify the general manager and count room supervisor that cash is required in the cash cage and supply details.

b) The count room supervisor, witnessed by the advisor, shall:

i) prepare fill;

ii) enters the details on the CasinoTrack system; and

iii) delivers cash/chips to banker. (Note: If count room is not directly accessible to cash cage, transfer cash with security guard present.)

c) The banker, witnessed by the general manager and cash cage advisor, shall:

i) receive and count cash/chips; and

ii) enters the details on CasinoTrack and verifies together with advisor.

SECTION: 8. OPERATING PROCEDURES - COUNT ROOM

8.3 CLOSING - FIRST DAY

8.3.1 Final pull of drop boxes. Once play has ceased on all the casino games the pull of the drop boxes can commence as described in Section 8.1.

8.3.2 Closing count counting procedures are described in Section 8.2, except as each drop box is counted, the count room advisor must ensure that the entries into the CasinoTrack system are correct.

8.3.3 Chip transfer - chips from rake boxes are transferred to the banker immediately. Details are recorded on CasinoTrack system.

8.3.4 The count room supervisor transfers cash to safe:

a) The count room supervisor, witnessed by the advisor and general manager, shall:

i) prepare next day's opening cage bankroll and;

ii) records details on CasinoTrack system.

b) The general manager shall ensure both cash and original Fill Slip are secured in overnight storage, for next day delivery to opening banker.

8.3.5 The count room supervisor deposits to outside bank:

a) The count room supervisor, witnessed by the general manager and advisor, prepare the bank deposit. Complete deposit slip(s), for balance of cash, both verify and sign bank slip(s) for deposit in the licensee's approved casino account.

b) The count room supervisor shall record totals of all deposit slips on CasinoTrack system and prints deposit slip.

c) The count room supervisor, witnessed by the advisor, shall place cash and slip in deposit bag, lock it, and transfer it to the general manager for secure storage pending delivery to the bank.

8.3.6 Closing accounting records:

a) The count room supervisor, assisted by the count room advisor, shall print Master Revenue Report, and both sign.

b) The count room supervisor shall print count room Drop Box Verification Report. The advisor, count room supervisor, and staff sign.

8.3.7 Transfer and custody of reports:

a) The general manager shall receive and retain until the final day of the casino all completed and voided reports from the count room supervisor and advisor.

b) The general manager shall review the reports with the count room supervisor and advisor and sign. (Note: Any overage or shortages in cash/chips in excess of $200 are to be recorded on a Discrepancy Report, with explanation of corrective action.)

SECTION: 8. OPERATING PROCEDURES - COUNT ROOM

8.4 CLOSING - FINAL DAY

8.4.1 Closing procedures are conducted as described in Section 8.3 except:

a) Next day's opening bankroll is not required.

b) The general manager shall return the keys for the drop boxes to the casino facility licensee.

c) The general manager shall receive all completed, voided reports from the count room supervisor and advisor.

d) The count room supervisor and advisor, shall print the Reconciliation of Casino Win/Loss and Pool Contributions reports have it witnessed and verified by the general manager and distribute as follows:

i) one copy to licensed charity; and

ii) one copy to casino facility licensee. *(Amended June, 2015)*

If written changes are made to the reports noted in Subsection 8.4.1d) above and are not entered in CasinoTrack, the amended reports must be submitted to AGLC. *(Added July, 2015)*

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.1 GAMING FLOOR LAYOUT

9.1.1 *(Deleted Jan 2021)*

9.1.2 *(Deleted Jan 2021)*

9.1.3 A pit supervisor shall be responsible for all games in each pit and shall ensure:

a) *(Deleted Jan 2021)*

b) pit bosses possess extensive working knowledge of all games in the section to which they have been assigned;

c) *(Deleted Jan 2021)*

d) *(Deleted Jan 2021)*

e) CCTV cameras are continually monitored by monitor room personnel, and that cameras are focused on tables for coverage as prescribed in Section 5;

f) security guards are made aware of potential security problems, i.e., problematic patrons, unusually large individual wins or losses, etc.;

g) security of all gaming equipment stored inside the pit; i.e. cards, shoes, etc.; and

h) playing cards are in good condition (i.e., worn cards must be replaced prior to casino opening, or at any time that cards show signs of wear).

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.2 GAMES MIX

9.2.1 Prior written approval from AGLC is required for amendments to the games mix.

9.2.2 The approved maximum number of table games are:

a) For 16 games or more:

A maximum of 50 games, plus up to 12 poker games. Should a facility wish to have more than 12 poker games, prior approval is required from AGLC.

i) minimum staffed (excluding poker):

- three tables at opening and closing; and
- six tables for a minimum three consecutive peak hours.

b) For 15 games or less:

A maximum of 15 games plus, up to six poker games. Should a facility wish to have more than six poker games, prior approval is required from AGLC.

i) minimum staffed (excluding poker):

- two tables at opening and closing; and
- four tables for a minimum three consecutive peak hours.

c) Facility licensees may request approval from AGLC to reduce the number of minimum games required to be open (below the minimums specified above) in extenuating circumstances (e.g. labour disputes, adverse weather).

9.2.3 The following shall apply to craps:

a) a craps fee shall be established as a fixed fee based on $3,000/table/day for each game operating during the day to a maximum of 75 per cent of the total hold for the table;

b) *(Deleted Dec 2020)*

c) *(Deleted Dec 2020)*

d) craps in Alberta are run under the authority of AGLC.

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.2.4 *(Deleted Aug 2020)*

9.2.5 All gaming tables and equipment which must be purchased from registered gaming suppliers shall be inspected and approval given in writing by AGLC prior to use on the casino floor.

9.2.6 Requests for new casino gaming activities that possess features or methods of delivery that are deemed to be significantly different from the features or methods of delivery of existing approved casino gaming activities must comply with the new game approval process detailed in Section 1.23.

9.2.7 Requests for minor variations to existing approved card games (e.g. blackjack) will be accepted in writing, and must include the following documentation:

a) rules of play;

b) mathematical probabilities;

c) proposed terms and conditions;

d) cash cage or count room procedures;

e) specific security issues; and

f) testing procedures.

9.2.8 To ensure a consistent and unified approach to the introduction of variations to existing games, requests for variations to existing games will be reviewed with all casino facility licensees.

9.2.9 In-house testing of variations to existing games will be considered provided the elements required for proper testing are present as follows:

a) dedicated camera surveillance;

b) detailed record-keeping of win, loss, percentage, drop, etc.;

c) detailed reports on problems and discrepancies; and

d) detailed records and reports shall be submitted to AGLC within seven days of completion of testing.

9.2.10 *(Deleted Aug 2020)*

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.3 TABLE SET UP

9.3.1 Each gaming table must be numbered sequentially on the layout with no less than five cm lettering.

9.3.2 Tables must be equipped with:

a) locked drop box bearing the same number as the table and locked to the table, plus an identical back up box;

b) paddle;

c) for poker games:

i) a drop box (optional) plus one back up;

ii) a rake box plus one back up; and

iii) boxes are to be numbered in a manner to indicate one as the drop box and one as the rake box.

d) chip tray with lockable lid, discard rack and:

i) a four deck shoe for Red Dog;

ii) a four or six deck shoe for Mini-Baccarat - Single Laydown;

iii) an eight deck shoe for Super Pan Nine and Mini Baccarat - Double Laydown;

iv) a six or eight deck shoe for Mini-Baccarat - Handheld;

v) a four, five, six or eight deck shoe for blackjack games;

vi) a four, five, six or eight deck (double indexed) shoe for Hole Card Blackjack;

vii) two single decks for Caribbean Poker; and

viii) two single decks for Let It Ride and Wild Jackpot Poker.

e) chip tray with lockable lid for Roulette, Sic Bo and Wheels of Fortune;

f) playing cards: each type of game where players hold the cards must have a unique back. Cards may be made of plastic. Poker cards may be “bridge size”. Handheld baccarat may use “regulation baccarat cards” but the cards must have a distinct unique back from all other cards within the casino. All cards

must be stored securely and only placed on a table when a dealer is present;

g) for Caribbean Stud or Draw Poker, an automatic shuffler, jackpot metre, jackpot sign and operating computer; and

h) for Let It Ride, an automatic shuffler.

9.3.3 Table chip tray must be set up with the highest denomination in the centre and descend to the lowest value chips on the outside.

9.3.4 *(Deleted Aug 2020)*

9.3.5 Poker chip inventories must be supervised by one pit boss or pit supervisor per shift and only this person must have access to poker chip inventories for conducting fills/credits. The designated pit boss or pit supervisor must ensure that all fills/credits are done prior to going on breaks.

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.4 BETTING PROCEDURES

9.4.1 Only chips must be used for betting (with the exception of Roulette as specified in Subsection 9.4.2) and must be purchased with cash from the dealer.

9.4.2 Roulette players must only wager Roulette chips on inside betting positions, which shall have monetary value only at the table where they were purchased. On outside betting positions, players may play money chips.

9.4.3 Players are allowed to place bets for dealers in a designated space on the betting square or layout that identifies the bet as a dealer bet.

9.4.4 Bets must be in multiples of $1 - except for Roulette, Wheel of Fortune and the ante on some poker games.

9.4.5 Bets are valid only when placed within the space (or slot) provided before the dealing commences; an exception is the betting procedures used in Caribbean poker games. Bets must not be altered during play, except on Blackjack where rules of play allow doubling, splitting, insurance or surrender.

9.4.6 "Side betting", defined as a separate game taking place between two or more players in which the house has no action, is not permitted.

9.4.7 Partner betting is allowed on Blackjack, Mini-Baccarat (Single & Double Laydown), Super Pan 9, Pai Gow Poker, Tile Pai Gow and Hole Card Blackjack games only (see Section 9.12).

9.4.8 "Bet completion" is allowed on Mini-Baccarat - Handheld games only.

9.4.9 House rules must be established which: *(Added Apr 2020)*

a) limits the number of spaces each player can play on a given game or table; and

b) sets the minimum bet if multiple squares are bet by one player.

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.5 ALTERABLE BETTING LIMITS

9.5.1 Games with alterable betting limits shall be clearly identified.

9.5.2 Alterable limit games can change betting limits after reasonable notice is given to players. Changes to the limits may be made more than once per day.

9.5.3 Signs shall be posted stating:

a) table has alterable limits;

b) betting limits; and

c) amount of notice time to be given before changes may be made.

9.5.4 Players wishing to continue betting at the old limit may do so until they either change to new limits or vacate their playing positions. This does not include a player who leaves for a temporary absence and has space reserved by a marker, in accordance with house rules.

9.5.5 Once a player changes to the new minimum limit, betting may not resume at the old minimum limit.

9.5.6 All new players entering play after limits are changed, including players temporarily playing on a marker, shall wager at new minimum limits.

9.5.7 At the time the change is made, players at the affected games shall be verbally notified as to the change in betting limits. A marker shall be placed at the betting space(s) of players choosing to remain at the old limits.

9.5.8 Where the maximum limits are set at more than $100, the games manager must alert the monitor room so the conditions set out in Subsections 5.5.2 and 5.5.8, as applicable, are complied with immediately.

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.6 CHANGE INS

9.6.1 The dealer may accept and exchange for chips at the table any of the following:

a) cash;

b) chips;

c) AGLC approved casino chits (see Subsections 9.6.7 and 9.6.9); or *(Added Sept 2019)*

d) casino or cash call cheques (as provided for in Section 1.11). *(Amended Mar 2017)*

9.6.2 The dealer must not accept any form of monetary tender from player by hand.

9.6.3 The dealer must call to pit boss all transactions.

9.6.4 The dealer must obtain verification from pit boss on all transactions of $200 or more.

a) House rules may be established which set the dollar amount of transactions at a lesser value.

9.6.5 Cash:

a) player must place cash on table for pick-up by dealer;

b) dealer must count cash onto the table from left to right in front and slightly above chip tray;

c) dealer must announce the amount of cash;

d) an equal value of chips is taken from the tray and:

i) broken down for proofing;

ii) stacked directly in front of the tray with lowest denomination on top and highest on bottom;

iii) if required, dealer waits for verification;

iv) dealer then places stack(s) of chips in front of player; and

v) dealer places cash in drop box.

9.6.6 Chips:

a) player must place chips on table for pick-up by dealer.

b) dealer must "breakdown" chips as required to count.

c) once chips are counted, dealer must announce amount of chips.

d) an equal value of chips is taken from the tray and:

i) broken down appropriately for proofing;

ii) stacked directly in front of the tray with lowest denomination on top and highest on bottom;

iii) if required dealer waits for verification;

iv) dealer then places stack(s) of chips in front of player; and

v) dealer places chips in tray.

9.6.7 Casino chits/cheques or cash call cheques: *(Amended Sept 2019; Mar 2017)*

a) player must place the casino chit/cheque or cash call cheque (see Section 1.11) on the table;

b) dealer must announce the dollar value on the casino chit/cheque or cash call cheque;

c) pit boss must verify the dollar value on the casino chit/cheque or cash call cheque;

d) an equal value of chips is taken from the tray and:

i) broken down appropriately for proofing;

ii) stacked directly in front of the tray with lowest denomination on top and highest on bottom;

iii) if required, dealer waits for verification;

iv) dealer then places stack(s) of chips in front of player; and

v) dealer must place the casino chit/cheque or cash call cheque into drop box.

NOTE: Care must be taken when inserting casino chits/cheques or cash call cheques into drop box to avoid mutilating.

vi) The casino facility must reconcile all casino chits/cheques or cash call cheques with the charity through CasinoTrack. *(Added Sept 2019)*

e) should a player wish to cash a large casino chit/cheque or cash call cheque and there are not sufficient chips on the table, play will continue without delay until a "fill" is brought to the table; and *(Amended Mar 2017)*

f) the casino facility licensee assumes all costs and risks associated with providing this service.

9.6.8 Should there be a depletion of chips at the table, it is the operator's (pit staff) responsibility to ensure adequate chips so play is not impeded.

9.6.9 With prior AGLC approval, casino facility licensees may conduct large cash buy-ins away from the gaming table. *(Added Sept 2019)*

a) These buy-ins must be:

i) performed under video surveillance and recorded;

ii) run two times through a currency counter; and

iii) performed by a registered gaming worker.

b) The casino facility licensee will issue the player an AGLC approved chit that can be redeemed at the gaming table for chips.

c) All redeemed chits must be:

i) placed into the drop box of the table it was redeemed; and

ii) retained for 30 days and available to AGLC upon request.

SECTION: 9. OPERATING PROCEDURES - GAMES FLOOR

9.7 CARDS

9.7.1 New cards or cards in good condition shall be provided for each card game at the first day opening of the casino. Casino logo is preferred. Cards may be re-used until reasonably worn. The games manager and pit supervisors shall ensure that all cards are in good condition. The following cards are required for the following games:

a) Red Dog - four standard decks per game;

b) Blackjack - four, five, six or eight standard decks per game;

c) Hole Card Blackjack - four, six or eight decks of double or single indexed cards per game;

d) Mini Baccarat;

i) Single Laydown - four or six standard decks per game; and

ii) Double Laydown - eight standard decks per game.

e) Super Pan Nine - eight standard decks per game. All 7's, 8's, 9's and 10's shall be removed and held at pit stand;

f) Poker - two set up decks must be available at each table. High quality plastic cards are suggested. When using standard playing cards (not 100 per cent plastic) it is recommended the entire deck be changed regularly during play to ensure they are always in good condition;

g) Caribbean Stud/Draw Poker - two decks of a different colour backing must be available. High quality plastic cards must be used (see Subsection 9.3.2f)). Cards must be changed regularly;

h) Pai Gow Poker - two decks of a different colour must be available and used alternately on the game. High quality plastic cards are suggested. When using standard playing cards (not 100 per cent plastic) it is recommended the entire deck be changed regularly during play to ensure they are always in good condition and have not been tampered with;

i) Let It Ride - two decks each of a different colour backing used alternately on the game. It is recommended the entire deck be

changed regularly during play to ensure they are always in good condition and have not been tampered with;

j) Handheld Baccarat - eight decks of a distinctly unique backing must be used. These cards may be "Regulation Baccarat Cards". Cards used for Handheld Baccarat may not be used anywhere else in the casino, under any circumstances; and

k) for all games where players may hold the cards, a separate card inventory must be used for each type of game. Cards must have a distinctive back design and colour.

9.7.2 On opening or replacement of cards, dealer shall check cards as follows:

a) check all cards individually, front and back for flaws or marks;

b) ribbon spread face up till play starts. All dealers shall use the same pattern of card layout;

c) check all new or sorted decks in the same manner; and

d) to start play, shuffle using an approved shuffle.

e) After the shuffle, cards may be cut up to 60 per cent.

9.7.3 Cards may be replaced only at shuffle time and only by pit boss, pit supervisor or games manager.

9.7.4 When replacing used or worn cards, pit staff shall:

a) remove cards from table, check for flaws, and bind with a rubber band. In the case of hand-held game, cards shall be sorted;

b) attach a note as to date, time of day, and game number; and

c) sign a note certifying cards are free of flaws;

OR

d) if cards are flawed shall report flaws to games manager.

9.7.5 The dealer shall ensure cards are kept in good condition at all times, and shall immediately ask pit boss for replacement of a broken or bent or marked card. Cards shall be replaced if found to be dirty, sticky, bent or if suspected of being marked. Exception: Poker games when entire set-up is changed.

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9.7.6 If a game is temporarily closed and dealer leaves, shoe and cards shall be removed by pit boss to pit stand for safekeeping and returned by pit boss to table for re-opening.

9.7.7 On dead games, cards shall be ribbon spread face down on table, until picked up for shuffling.

9.7.8 All cards shall be kept in secure storage by casino facility licensee. Cards must be cleaned, sorted and checked before being re-used.

9.7.9 New cards, with the same design and colour as those used in any casino, shall not be sold, or in any way be released to the public before defacing.

9.7.10 Where cheating at play is suspected, playing cards shall be bound with a rubber band and tagged and kept securely and intact by games manager until turned over to an inspector.

9.7.11 All cards used in casinos shall have a distinct backing from each casino facility.

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9.8 APPROVED SHUFFLES

9.8.1 Four deck riffle-shuffle:

a) the dealer calls to pit boss “shuffle up”. All cards are shuffled face down, no card-face exposed;

b) when using new or sorted cards, decks shall be lightly washed before shuffle begins;

c) to start, pack is cut into approximate halves. Each half is then cut again and arranged in a semi-circle in front of dealer;

d) the piles are shuffled as follows:

i) starting from dealer's left, dealer shall take half of first and third piles and

- riffle-shuffles and squares cards;
- undercuts about one-third of pile, strips and squares cards;
- riffle-shuffles again three to five times, does not square cards, but leaves them interlaced squares cards; and
- places cards at top-centre (of semi-circle) to start a fifth pile of interlaced cards.

ii) repeat procedure for half of second and fourth piles, bottom halves of second and third piles, and remainder of first and fourth piles;

e) for new or sorted cards, shuffle is repeated;

f) when all piles are shuffled:

i) the dealer calls out “shuffle check” to pit boss. Once pit boss visually verifies, dealer may square cards and offer cut to player;

ii) player cuts cards;

iii) dealer brings front section of cut pack to the back;

iv) dealer squares cards against shoe and inserts cut-card before placing cards in shoe:

- for Blackjack, cut-card is placed 35 to 104 cards from bottom of pack;
- for Red Dog, cut-card is placed 35 to 55 cards from bottom of pack;

v) after placing in shoe the first card is burned; and

vi) when cut-card appears during play, current round is completed before cards are shuffled:

- dealer removes cards remaining in shoe;
- dealer places half of the shoe cards approximately one deck from the top of the discards, and the remainder approximately one deck from the bottom of the discards;
- on tables with limits of $200 or more cards may be mini-washed at this time; and
- shuffle proceeds as in Subsection 9.8.1 c).

9.8.2 Six deck riffle-shuffle:

a) the dealer calls to pit boss “shuffle up.” All cards are shuffled face down, no card-face exposed;

b) when using new or sorted cards, decks shall be lightly washed before shuffle begins;

c) the pack is cut into approximate halves. Each half is then cut again to make 6 equal piles as follows:

i) take half of piles one and four and riffle-shuffle, undercut one third and strip, riffle three to five times and place on centre spot, repeat with piles three and six and piles two and five;

ii) repeat with remaining half piles, with piles one and five, two and six and three and four;

iii) cut centre pile into two equal piles, take half a deck from each pile, riffle once and interlace partially together, and

place in a new pile in the middle. Repeat until all cards are piled in one stack;

iv) the dealer calls out "shuffle check" to check pit boss once it is visually verified, dealer squares cards against shoe and presents to player for cutting, dealer brings front section of cut pack to back, dealer squares cards against shoe, places cut-card 35 to 160 cards from bottom of deck, and places cards in shoe; and

v) after placing in shoe, first card is burned.

d) when cut-card appears during play, current round is completed before cards are shuffled. The dealer then:

i) removes cards remaining in shoe;

ii) places half of the shoe cards approximately one third from the top of the discards, and the remainder approximately one third from the bottom of the discards;

iii) on tables with limits of $200 or more cards may be mini-washed at this time; and

iv) shuffle proceeds as in Subsection 9.8.2 c).

9.8.3 Alternate six deck shuffle:

a) the dealer calls to pit boss "shuffle up". All cards are shuffled face down, no card face exposed;

b) when using new or sorted cards, decks shall be lightly washed before shuffle begins;

c) to start, pack is cut into approximate halves. Each is then cut again and arranged in a semi-circle in front of dealer;

d) the piles are shuffled as follows:

i) starting from the dealer's left, dealer takes one-third of first and third pile and:

- riffle-shuffles and squares cards;
- undercuts about one-third of pile, strips and squares cards;

- riffle-shuffles again three to five times, does not square cards but leaves them interlaced; and
- places cards at top centre (of semi-circle) to start a fifth pile of interlaced cards;

ii) repeat procedure for one-third of second and fourth piles;

iii) repeat procedure for one-third of first and fourth piles, then one-third of second and third piles; and

iv) repeat for remainder of first and third piles, then repeat for remainder of second and fourth piles.

e) for new or sorted cards, shuffle is repeated.

f) when all piles are shuffled:

i) dealer calls out "shuffle check" to pit boss, once it is visually verified, dealer may square cards and offer cut to player;

ii) player cuts cards; and

iii) dealer brings front section of cut pack to the back.

g) the cut card is placed 35 to 160 cards from bottom of pack.

h) after placing cards in shoe, first card is burned.

i) when the cut-card appears during play, current round is completed before cards are shuffled:

i) the dealer removes cards remaining in shoe;

ii) the dealer places half of the shoe cards approximately in the middle of the upper half of the discards and the remainder approximately in the middle of the lower half of the discards; and

iii) on tables with limits of $200 or more, cards may be mini-washed at this time;

j) the shuffle proceeds as in Subsection 9.8.3 c).

9.8.4 Eight deck riffle-shuffle:

a) the dealer calls to pit boss “shuffle up”. All cards shuffled face down, no card-face exposed;

b) when using new or sorted cards, decks shall be lightly washed before shuffle begins;

c) the pack is cut into approximate halves. Each half is cut twice more to make 8 equal piles as follows:

i) take half of piles one and five and riffle-shuffle, undercut one third and strip, riffle three to five times and place on centre spot, repeat with piles four and eight, three and seven, and two and six;

ii) repeat with remaining half piles, using piles one and seven, two and eight, three and five, four and six;

iii) cut centre pile into two equal piles, take half a deck from each pile, riffle once and interlace partially together and place in a new pile in the middle, repeat until all cards are piled in one stack;

iv) dealer calls out “shuffle check” to pit boss once it is visually verified, dealer squares cards against shoe and presents to player for cutting, dealer brings front section of cut pack to back, dealer squares cards against shoe, dealer places cut-card 35 to 208 cards from bottom of deck, and places cards in shoe; and

v) after placing in shoe, first card is burned.

d) when the cut-card appears during play, current round is completed before cards are shuffled as follows:

i) the dealer removes cards remaining in shoe;

ii) the dealer places half of the shoe cards approximately one third from the top of the discards, and the remainder one third from the bottom of the discards;

iii) on tables with limits of $200 or more cards may be mini-washed at this time; and

iv) shuffle proceeds as in Subsection 9.8.4 c).

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9.8.5 Alternate eight-deck riffle shuffle:

a) perform four deck shuffle twice using one-quarter of the piles per section; and

b) the cut-card is placed 35 to 208 cards from the bottom of the pack.

9.8.6 Single deck riffle-shuffle:

a) the deck shall be lightly washed before shuffle begins;

b) the dealer of the table game (excluding poker) calls to pit boss "shuffle up". All cards shuffled face down, no card-face exposed;

c) to start, the dealer moves deck forward on table and cuts into approximate halves. The dealer then:

i) riffle-shuffles and squares cards;

ii) undercuts about one-third of pile, strips and squares cards ensuring cards stay low to the table; and

iii) riffle-shuffles cards again three to five times, and squares.

d) when the shuffle has been completed, dealer releases deck completely and the dealer uses one hand to cut the cards once in a forward movement onto the cut-card, the bottom card of the deck shall remain concealed and shall never be dealt.

9.8.7 Baccarat wash (the wash is the same for four, six or eight decks.):

a) the dealer calls to pit boss "shuffle up". All cards are shuffled face down, no card-face exposed;

b) the deck shall be lightly washed before shuffle begins:

i) the cards are placed against the front of the shoe, lengthways and face down;

ii) one card at a time is stripped forward, until entire pack is stripped, all cards shall be kept face down, no card-face exposed;

iii) the dealer calls to pit boss "washing";

iv) the pit boss shall physically check to ensure all cards have been stripped, once confirmed, tells dealer to proceed with wash;

v) wash entire pack in centre of table;

vi) gather approximately one deck and wash, place face down on top of cut-card located in front of shoe, continue until all cards are stacked; and

vii) for new or sorted cards, the shuffle is repeated.

c) when the entire pile has been stacked:

i) decks shall be squared and then cut by player;

ii) the dealer brings front section of cut pack to the back;

iii) the dealer squares cards against shoe and inserts cut-card at least 10 cards from bottom, before placing cards in shoe; and

iv) first card is burned; or

v) first card is turned face up and dealer then burns the number of cards (face-down) as dictated by turned card.

d) the cards shall be shuffled, all decks together:

i) the dealer shall remove cards remaining in shoe and place in front of chip tray;

ii) the dealer places half of the shoe cards approximately one deck from the top of the discards, and the remainder one deck from the bottom of the discards;

iii) if a bucket is used, cards are combined with those from the shoe; and

iv) the shuffle proceeds as in Subsection 9.8.7 b).

9.8.8 Lady luck shuffle:

a) may be used as an added security measure for Mini-Baccarat or Blackjack;

b) for Mini-Baccarat, the Baccarat Wash is used as follows:

i) a separate table, designated as a shuffle table, must be used, this table shall not be active at any time during the casino;

ii) the shuffle is completed by an on-shift dealer, a record of dealers who perform the shuffle shall be kept;

iii) the shuffle shall be supervised by a pit boss;

iv) the shuffled cards shall be placed in a numbered shoe, covered by a clear plastic box and be left in full view of players and pit staff, a record of shoes and the games they are used on, shall be kept; and

v) one additional set of shuffled cards shall be available for each group of Mini-Baccarat games.

c) for Blackjack, the six or eight deck riffle shuffle or the alternate six or eight deck shuffle must be used (see Subsections 9.8.2, 9.8.3, 9.8.4 and 9.8.5):

i) the procedures outlined in Subsection 9.8.8 b) i) - iv) apply to Blackjack; and

ii) one additional set of shuffled cards shall be available for each group of three Blackjack games.

d) once the pre-shuffled shoe is delivered to the table a single riffle shuffle of all the cards may be done prior to cutting. This procedure is optional.

i) the riffle shuffle must be done with pit boss present;

ii) once pit boss verifies shuffle it is offered for cut; and

iii) play proceeds as normal.

9.8.9 Alternate four, six or eight deck shuffle:

a) take the unused cards from the shoe and randomly place in the discard rack, 1/3 each to the top, centre and bottom;

b) divide the cards into two equal stacks (A & B). Separate the cards allowing a space for a third stack (C);

c) take 3/4 of a deck from each stack (A & B) and riffle once; the shuffled cards will now become stack C. Take 3/4 of a deck from the new shuffled stack C and 3/4 of a deck from the stack on the left (A) and riffle one time. Take 3/4 of a deck from the centre stack (C) and 3/4 of a deck from the right stack (B) and riffle one time. Alternate this process and continue until all cards are shuffled, a total of seven riffles. Stacks A and B are now completely shuffled into stack C as the only remaining stack;

d) divide the cards into two equal stacks again;

e) place cut card in centre of the table. Take 3/4 of a deck from each stack and riffle one time. **DO NOT LACE**. Place the shuffled cards on top of cut card. Repeat this process until all cards are shuffled, a total of four riffles;

f) shuffle check is then called by the dealer and verified by the pit boss; and

g) once verified, the cards are fully interlaced and the cut card is presented to the players.

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9.9 AUTOMATIC SHUFFLERS

9.9.1 Automatic shufflers must be certified by an accredited testing facility (ATF) registered with AGLC, and the certificate must be provided and approved by AGLC prior to use. *(Added Aug 2020)*

9.9.2 All types of automatic shufflers, approved by AGLC, may be used on all games:

a) if an automatic shuffler is used (e.g. Shufflemaster), then the Baccarat Wash or the four, six or eight deck riffle-shuffle (or alternate) only needs to be done at the table opening;

b) when using the Quick Draw Automatic Shuffler, ID Number 205C, 5D 52 Pin PLCC Package, five standard decks may be used. A five-deck riffle shuffle shall take place. This shall be identical to the four-deck riffle-shuffle in Subsection 9.8.2;

c) when using an automatic shuffler there shall be two sets of cards for each table, and one extra set of cards with shoe for every three tables;

d) when the shuffler is used away from an open table, the procedure will be as follows:

i) a separate table, designated as a shuffle table, must be used. This table will not be active at any time during the casino;

ii) the shuffle is supervised by a pit boss;

iii) the cards will be removed from the shoe by pit boss and placed in the automatic shuffler, a record of time of shuffle and shoe number shall be kept;

iv) the shuffled cards shall be removed from the automatic shuffler by the pit boss and returned to the shoe they came from;

v) the shoes shall be covered by a clear plastic box and be left in full view of players and pit staff; and

vi) a record of shoes, the games they are used on and time placed, shall be kept.

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e) when the shuffler is used at a live game and the cut-card appears during play, the current round is completed before cards are shuffled. The dealer then:

i) calls to pit boss "Shuffle Up";

ii) shall remove cards remaining in shoe and place them in front of the chip tray;

iii) places half of the shoe cards approximately one third from the top of the discards and the remainder approximately one third from the bottom of the discards; and

iv) removes cards from discard rack and places them in the automatic shuffler (a single riffle or box cut may be done before placing the cards in automatic shuffler).

f) The dealer removes cards from automatic shuffler, squares cards and offers cut to players:

i) player cuts cards;

ii) the dealer brings front section of cut pack to the back; and

iii) the dealer squares cards against shoe and inserts cut-card before placing cards in shoe:

For Blackjack:

four or five deck: cut card is placed 35 to 104 cards from bottom of pack;

six deck: cut card is placed 35 to 160 cards from bottom of pack; and

eight deck: cut card is placed 35 to 208 cards from bottom of pack.

For Baccarat:

cut card is placed at least 10 cards from bottom.

g) after placing cards in shoe the first card is burned.

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9.10 ALTERNATE HAND SHUFFLE

9.10.1 This shuffle shall only be done in emergency situations when the automatic shuffler has problems.

9.10.2 The shuffle for a single deck will be done as follows:

a) the dealer will take one-third of the cards from the bottom of the deck, placing it on top of the remaining two-thirds, squaring the deck and shuffling;

b) the deck will be shuffled twice as above, and stripped top to bottom five times;

c) the deck will be shuffled once more in the same manner as above in b); and

d) the dealer then deals one card in rotation for each player at the table and then to themselves from left to right in front of his/her tray until the number of cards for each player and dealer is correct. The dealer then passes each hand to the player in the same fashion and counts down the remaining cards in the stub to ensure each hand has 52 cards in play. Once cards are counted and deemed correct, the dealer will instruct the players to look at their cards.

9.10.3 AGLC, by way of a Discrepancy Report, will be advised should the alternate hand shuffle be used on that particular day.

9.10.4 The deal shall then proceed as designated for each separate game.

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9.11 CHIP INVENTORY

9.11.1 All casino chips shall be approved in writing by AGLC prior to use.

9.11.2 A sample of each denomination of chip shall be supplied to AGLC.

9.11.3 Chips of different value shall be monogrammed accordingly and shall be a different colour.

9.11.4 Each casino facility shall have a unique chip inventory.

9.11.5 Casino facility licensees shall maintain detailed inventory control of casino chips and shall provide secure storage of unused, broken or replaced chip inventories.

9.11.6 A report is to be submitted to AGLC of all individuals having access to chip inventories.

9.11.7 At the end of each quarter, a report detailing casino chip inventory status (both active and back-up) shall be submitted to AGLC.

9.11.8 Chip inventories are subject to quality control and AGLC approval. Defective chip inventory will be replaced when requested.

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9.12 PARTNER BETTING

9.12.1 Partner betting is allowed on Blackjack, Mini-Baccarat, Super Pan 9 and Pai Gow Poker games. Players are permitted to bet on another player's square(s) provided:

a) house rules are established on how the bets are handled;

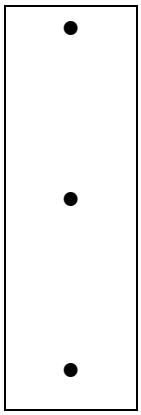
b) on games where the seated player has the option of taking an additional card(s) players do not object to having another player on their square(s);

c) a maximum of three players are permitted to wager on one betting square;

d) partner betting is normally only permitted in adjacent square(s);

e) table limits per square and multiple hand limits shall be observed;

f) for security and consistency bets shall be placed as follows:



i) if more than one bet is placed in a square, players must keep their bet separate from other player's bet(s);

ii) commission per square shall not exceed maximum commission bet;

iii) the maximum table limit shall not be exceeded;

iv) seated player bets first, other player(s) may then wager up to the remaining balance of the table limit; and

v) commission bets (if applicable) shall be placed as one bet and the dealer shall ensure that it is the correct amount.

g) players may not exercise control over more squares than is allowed in this guideline or house rules;

h) the dealer shall only accept decisions of seated player:

i) if seated player wishes to split, but other player(s) on the square do not, other player(s) shall have action on the first split hand only; and

ii) if seated player wishes to double down, other player(s) on the square are not required to do so.

i) casino facility licensees who wish to purchase new layouts to accommodate multiple player bets must submit a layout sample design to AGLC for approval.

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9.13 IRREGULARITIES - ALL GAMES (SEE SECTION 10 FOR FURTHER DETAILS)

9.13.1 First card of pack. If dealer forgets to burn first card of pack and deal has begun, dealer shall immediately notify pit boss of mistake, after which play continues in prescribed fashion.

9.13.2 Overbet. If player bets over maximum and dealer fails to note before hand is played, payoff or loss shall only be table maximum.

9.13.3 Underbet. If player bets less than the table minimum, and dealer fails to note before hand is played, payoff or loss shall only be the amount bet.

9.13.4 Games manager shall be responsible for ensuring:

a) all cards not in play are kept in secure storage; and

b) the cards removed from games at daily closing are kept in secure storage until next day.

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9.14 GRATUITIES (TIPS/TOKENS)

9.14.1 All registered gaming workers, with the exception of those serving in the role of games manager, advisor, security manager, casino manager and slot manager, are eligible to receive tips.

9.14.2 All tips must be pooled.

9.14.3 Each casino facility licensee must have a written tip policy that indicates:

a) who is eligible to receive tips (e.g. dealers only, or all registered gaming workers as specified in Subsection 9.14.1);

b) how tips will be distributed (e.g. divided proportionally by hour, by shift, by day, by casino event, by week, by individual games (e.g. craps, poker, blackjack, etc.) or by pit; and

c) it is the casino facility's tip policy and not that of AGLC.

9.14.4 Casino facility licensees allowing the distribution of tips to staff other than dealers must submit to AGLC for approval a proposed plan that details the internal control procedures that will be put in place to ensure that the integrity of the games are not compromised.

9.14.5 It is the responsibility of the casino facility licensee to ensure:

a) tips received at table games in the form of chips are exchanged from lower denominations to higher denominations, under supervision of a pit boss, supervisor or games manager;

b) each person eligible for tips places tips on table behind paddle or in a designated container marked "Tips". Tips that are collected at table games shall be secured by an elected representative of the staff; and

c) tips are distributed only among staff eligible to receive tips according to the casino facility's established policy.

9.14.6 Tips in the form of chips that are redeemed at the volunteer cash cage must be redeemed by the cash cage advisor at the staff window. This transaction must be witnessed by the designated tip committee and the general manager or banker. The amount must be redeemed in the denominations identified by the tip committee. The advisor may use a bill counter to facilitate this transaction provided

the bill counter can be viewed by a surveillance camera during the transaction.

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9.15 AGGREGATE PAYOUT LIMITS

(Added Apr 2018)

9.15.1 With prior AGLC approval, a casino facility licensee may establish an aggregate payout limit to a wager or square at a table game. An aggregate payout limit refers to the maximum payout that a player may receive from a winning wager or square.

9.15.2 Casino facility licensees may only establish an aggregate payout limit for games where the associated paytable contains a payout of 50 to 1 or greater.

9.15.3 Casinos that establish aggregate payout limits must comply with the following conditions:

a) major casinos with 16 or more table games must establish aggregate payout limits at a value of $10,000 or greater; and

b) minor casinos with 15 or fewer table games must establish aggregate payout limits at a value of:

i) $5,000 or greater for games where the maximum wager is $10 or less; or

ii) $10,000 or greater for games where the maximum wager is $11 or more.

9.15.4 Aggregate payout limits must exceed the maximum payout that a player could win from placing the minimum wager on a table game.

9.15.5 Casino facility licensees must not apply aggregate payout limits to progressive paytables.

9.15.6 Casino facility licensees must:

a) display prominent signage for aggregate payout limits in a clearly visible and permanent position at the table game; and

b) specify the aggregate payout limit in the posted house rules.

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9.16 GAMING FLOOR SUPERVISION

(Added Jan 2020)

9.16.1 The casino facility licensee is responsible for protecting the integrity of its table games by ensuring:

a) adequate table game supervision is provided at all times; and

b) registered gaming workers conducting or supervising table games are appropriately trained and have the skills required to perform their assigned duties.

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9.17 PROGRESSIVE JACKPOTS

9.17.1 With prior written approval from AGLC:

a) an electronic progressive jackpot may be offered in conjunction with any table or poker game; and

b) a manual progressive jackpot may be offered in conjunction with any poker game.

9.17.2 To obtain approval, an application must be submitted to AGLC which includes the following:

a) corresponding game(s), subject to the following:

i) electronic progressive jackpots may be linked within a casino facility, providing that the qualification criteria and paytables are identical for each linked game; and

ii) if jackpot funds are split between multiple manual progressive jackpots, the casino facility licensee must accurately track the funds for each jackpot and allow players to opt-out of any combination of the jackpots.

b) house rules and dealing procedures, subject to the following:

i) for electronic progressive jackpots, house rules must be posted and qualifying hands, paytables, and progressive table limits must be posted at the table; and

ii) for manual progressive jackpots, house rules, including rules for participating, the maximum pot, a description of qualifying hands, and how to opt-out/re-enter, must be prominently posted in the poker room.

c) progressive wager distribution (e.g., main pool, reserve pool(s), house fee, etc.), subject to the following:

i) main pool funds must always exceed funds in any subsequent reserve pool;

ii) for electronic progressive jackpots, house fees must not exceed 30 per cent of the progressive wager; and

iii) for manual progressive jackpots:

- house fees are prohibited; and

- once the accumulated pot reaches the maximum pot, no further contributions can be made to the pot until it has been won. A second pot may be started once the appropriate forms have been started.

d) jackpot seeding practices, subject to the following:

i) progressive jackpots may be seeded to a maximum of $10,000 per jackpot;

ii) if reserve funds are insufficient to meet the seeding requirement, the casino facility licensee must make up the difference with its own funds; and

iii) seeded funds cannot be revoked from the main pool.

e) reserve pool transfer practices, subject to the following:

i) all funds in a reserve pool(s) must be transferred forward to the next available pool after 100 per cent win; and

ii) to ensure the main pool always exceeds reserve pools, reserve funds may be transferred in part or whole to the main pool. AGLC notification is required prior to moving reserve funds.

f) termination plan, subject to the following:

i) prominent signage must be posted in the table game area for at least 30 days prior to termination, to notify players of the termination;

ii) AGLC must be notified prior to the signage posting; and

iii) AGLC may require the progressive jackpot to continue being offered until all funds are awarded. Casino facility licensees are responsible for covering all costs associated with retaining and terminating the progressive jackpot.

g) electronic progressive jackpot applications must also identify:

i) progressive paytables;

ii) table limits; and

iii) electronic equipment and system configuration requirements, subject to the following:

- electronic equipment must be provided by a registered gaming supplier, certified by an accredited testing facility to a standard accepted by AGLC, and approved by AGLC prior to installation.

  Note: AGLC may test electronic equipment to ensure integrity.

- a progressive display must be visible from the front of the table to advise players of the approximate jackpots. The displayed jackpot cannot exceed the actual total of the main pool.

- automatic shufflers are required on all progressive jackpot games (see Section 9.9). Alternate hand shuffles are permitted only in emergencies (see Section 9.10).

h) manual progressive jackpot applications must also identify:

i) disbursement structure; and

ii) opt-out and re-entry criteria.

9.17.3 Progressive jackpot funds must be held in trust as follows:

a) electronic progressive jackpot funds must be held in a dedicated trust account with a gift over to AGLC. This account must be designated specifically for progressive jackpots and cannot be used for any other purpose. The account must be operated as follows:

i) funds must be deposited within three banking days of receipt, unless the account balance is greater than or equal to all progressive jackpot balances in the facility;

ii) progressive jackpots funds must be paid from this account. The casino facility licensee must reimburse the charity for progressive jackpots awarded at the end of an event; and

iii) casino facility licensees that offer more than one progressive jackpot may use the same account to hold the funds for multiple pools. The combined totals of the pools must meet conditions in subsection 9.17.3 a) i).

b) manual progressive jackpot funds must be held in trust and stored separately from other funds in:

i) a safe in the casino facility that complies with Section 5.1.2 b); or

ii) a dedicated trust account that complies with Section 9.17.3 a).

9.17.4 Casino facility licensees are liable for progressive jackpot funds and must reimburse any missing or stolen funds. AGLC must be notified immediately of any funds that are unaccounted for and a Discrepancy Report must be submitted.

9.17.5 Once a jackpot win is confirmed, the casino facility licensee must pay all progressive jackpot amounts as advertised in accordance with the approved paytable, as follows:

a) on the day the jackpot is won, a payout slip must be completed that includes:

i) type of game;

ii) time and date;

iii) winner's name(s), signature(s), and contact information (see Section 1.27);

iv) amount of payout(s);

v) dealer's name;

vi) games manager's name, registration number, and signature;

vii) electronic progressive jackpot payout slips must also include:

- table number; and
- winning hand.

viii) manual progressive jackpot payout slips must also include:

- last running balance;
- total contributions made to point of winning on that day; and

- non-participants' names, signatures, and contact information.

b) for jackpot payouts of $5,000 and greater, surveillance footage must be reviewed and confirmed prior to payout;

c) for jackpot payouts of $10,000 and greater, a copy of the payout slip (and Financial Control Form for manual progressive jackpots) must be submitted to InspectionsGaming@aglc.ca within 24 hours of the win;

d) AML reports must be documented separately from the payout slip;

e) if less than 100 per cent of the jackpot is disbursed, the awarded funds must be documented and the remaining funds must be verified;

f) casino facility licensees may delegate whether the jackpot will be paid by cash, cheque, or a combination of both;

g) if funds are withheld for any reason, AGLC must be notified immediately and a Discrepancy Report must be submitted; and

h) documentation of the progressive jackpot must be made available to AGLC Inspectors upon request and must be retained for a minimum of two years after the jackpot has been awarded.

9.17.6 If a casino facility licensee wishes to modify the progressive paytable or terminate a progressive jackpot, the termination plan approved under Section 9.17.2 f) must be enacted. At its discretion, AGLC may prohibit the reinstatement of a progressive jackpot for up to one year from the date of termination.

ELECTRONIC PROGRESSIVE JACKPOTS

9.17.7 Casino facility licensees are responsible for accurate reporting into CasinoTrack, and are accountable for any errors that negatively impact the charity. Once all games are closed, the pit supervisor must produce the Hard Count Report (provides total amount bet on progressive portion for each table) and the Jackpot Report (provides the total jackpots paid out from each table), and provide copies of both reports to the advisor. The casino facility licensee must retain copies of the system reports for a minimum of two years.

9.17.8 Financial records must be submitted to AGLC as follows:

a) copies of the following progressive jackpot financial records must be submitted to AGLC within 45 days of the casino facility licensee's fiscal year-end:

i) progressive jackpot trust account statement showing the balance on the fiscal year-end date;

ii) fiscal year-end progressive totals as per the digital display and progressive reports; and

iii) progressive jackpot reconciliation of the trust account balance to the digital display and progressive reports.

b) copies of financial records must be made available to AGLC upon request and must be retained for a minimum of two years after the jackpot has been awarded.

MANUAL PROGRESSIVE JACKPOTS

9.17.9 Casino facility licensees must track the financial records of manual progressive jackpots as follows:

a) two registered gaming workers must count all chips and/or money contributed to the jackpot and complete the Financial Control Form on a daily basis, even if there are no contributions for that day, which includes:

i) date/time;

ii) total contributions for that day (if no contributions were made, enter zero);

iii) running balance; and

iv) registration number and signature of two registered gaming workers and the games manager.

b) a games manager must:

i) ensure that all funds are secured in accordance with the facility's cash storage procedures; and

ii) verify jackpot funds at least once within a 24-hour period.

c) Financial Control Forms must be stored in a location separate from the jackpot funds. A duplicate copy of the Financial Control Form, or a grand total, must be stored with the funds.

d) Financial Control Forms must be made available to an AGLC Inspector upon request. Copies must be retained for a minimum of two years.

9.17.10 A separate Non-Participant Form to record players that have opted out of the jackpot must be maintained for each progressive jackpot as follows:

a) the form must be retained for the entire duration of the jackpot and stored in the pit;

b) players not listed on the form are automatically included in the progressive jackpot;

c) non-participants are entitled to their jackpot contribution. House rules may require a non-participant to self-identify prior to claiming the contribution;

d) non-participants are not entitled to jackpot disbursements; and

e) re-entry criteria for non-participants must be identified (e.g., when 100 per cent jackpot is awarded, after a 30-day waiting period, etc.).

SECTION: 9. OPERATING PROCEDURES - GAMES

9.18 RULES OF PLAY

(Added Jan 2021)

9.18.1 Casino facility licensees must submit rules of play (e.g. object of the game, basic play procedures, betting and tables limits, pay tables, rake-offs – if applicable, and game irregularities) in writing to AGLC for each table game offered at their casino facility. Casino facility licensees may:

a) adopt rules of play formats provided for in AGLC's Casino Operational Best Practices; or

b) for casino games not provided for in AGLC's Casino Operational Best Practices, submit rules of play for AGLC's written approval. This includes, but is not limited to:

i) full rules of play required to operate the game; and

ii) mathematical probabilities.

Note: AGLC may require new games to be trialed for a period of time at AGLC's discretion and a 90 day data tracking of a game prior to final approval being granted. AGLC may terminate any trial, resulting in the game's removal from the casino facility.

9.18.2 The casino facility licensees must ensure its rules of paly are adhered to at all times and must not:

a) apply any changes to rules of play, until providing such changes to AGLC 14 days prior to taking effect; or

b) provide increased/decreased payouts or alter the elements of chance of any casino game, for reasons including but not limited to; table limits, part of a play reward program, player status, promotion, incentive or offering.

9.18.3 Casino facility licensees must have documented rules of play available for AGLC or casino patron's review upon request.

9.18.4 The interpretation and application of rules of play or best practices is at the discretion of AGLC. AGLC may use its Casino Operational Best Practices to mediate the result of a complaint or irregularity should the issue not be adequately addressed in the casino facility licensee's rules of play.

9.18.5 AGLC, at its discretion, may direct a casino facility licensee to amend its rules of play if they deem a rule jeopardizes the integrity of a casino game or prevent the game from being conducted in alignment with its intended manner.

9.18.6 Poker Operations:

The following options for poker can be utilized at the discretion of the casino facility licensee.

a) OPTION ONE

i) The poker rake will be established as a fixed fee ($1,400/day for each table opened during the day to a maximum of 75 per cent of the total poker rake per table) with a minimum of 25 per cent going into the pool each day for the charitable organizations;

ii) Poker will continue to operate up to 14 hours/day concurrent with the other casino table games; and

iii) Volunteers will continue to be chip runners and the chips and rake will continue to be included as part of the regular casino.

b) OPTION TWO

i) Poker may operate up to 17 hours/day concurrent with the hours that slot machines operate;

ii) Poker rake will be established as a fixed fee based on $1,400/table/day for each table opened during the day to a maximum of 75 per cent of the total poker rake per table. The maximum daily fee may be increased by $100/hour/table/day for each additional hour of operation outside the basic casino hours for table games to a maximum of $1,700/table/day. A minimum of 25 per cent will go into the pool each day for the charitable organizations;

iii) The casino facility licensee will be required to have different chips for the poker room which cannot be used on the casino's table games. These chips may be cashed at either the slot bank or the volunteer bank; and

iv) Volunteers are not required as chip runners under this option.

c) OPTION THREE

i) Casino facility licensees may construct separate poker rooms as part of the casino with direct access from outside the casino. An interior access will also be required which can be secured when the casino table games are closed;

ii) At the discretion of the casino facility licensee, poker rooms can have flexible hours of operation on days that casino events are held;

iii) Once the separate poker room is opened, the facility licensee will be able to increase the maximum daily fee as a result of increased hours of operation by $100/hour/table/day for each additional hour of operation outside the basic casino hours for table games to a maximum of $2,000 table/day. The fee cannot exceed 75 per cent of the total poker rake per table. Each day the casino facility licensee will be required to contribute a minimum of 25 per cent of the poker rake to the pool for the charitable organizations;

iv) The casino operator will be required to have different chips for the poker room which cannot be used on the casino's table games. These chips may be cashed at either the slot bank or the volunteer bank; and

v) Volunteers are not required as chip runners under this option.

NOTE: The flexible hours for the separate poker room will not be permitted unless the casino facility licensee can secure the casino from the poker room during the hours that the casino is not permitted to be open.

9.18.7 Poker Rake:

Casino facility licensees must apply a 10 per cent rake off to all pots. The maximum rake off limit set by the licensee must:

a) be between $5 and $7 for fixed limit games;

b) be between $5 and $10 for open limit games; or

c) where 6 or less players are playing at the commencement of the deal:

i) between $3 and $7 for fixed limit games; or

ii) $10 for open limit games.

Note: House rules may indicate that the rake off will be applied after the pot reaches $10.

9.18.8 Blackjack Limits:

a) Betting limits shall be established between the ranges of $1 - $2000.

9.18.9 Blackjack Payoffs:

a) Blackjack is paid off at three to two.

b) Insurance bet is paid off at two to one.

c) Other winning hands are paid off at one to one.

9.18.10 Mini Baccarat Betting and Limits:

a) Betting limits per space shall be $1 - $1,000.

b) A house rule may also be established that sets an aggregate limit for each baccarat table that does not exceed $12,000.

c) A five per cent commission on all winning banker wagers (rounded down) will be applied. The facility may receive approval for a commission-less option provided that:

i) the casino facility licensee has received prior AGLC approval in writing for the identified mechanic; and

ii) house rules identifying how the commission-less option will be applied (e.g. winning 3 card banker hands totaling 7 push all banker wagers).

Note: The commission-less mechanic must not significantly alter the house edge for the game and be in tolerance of one per cent.

9.18.11 Pai Gow Poker Betting and Limits:

a) Betting limits shall be $1 to $1,000; and

b) A five per cent commission shall be charged on all winning wagers.

9.18.12 Proposition games betting limits hall be established between the ranges of $1 - $100.

9.18.13 Bonus Bet Games:

a) Betting limtis for all optional bonus wagers (non-progressive) shall be established between the ranges of $1 - $100; and

b) Casino facility licensees may adopt pay tables for bonus bet games as listed in the AGLC Casino Operational Best Practices, or submit alternative pay tables to AGLC for approval.

9.18.14 Roulette Limits:

a) Betting limits shall be:

i) Inside $.25 - $50

ii) Outside $1 - $2,000

b) A house rule may also be established that sets an aggregate inside bet limit for each roulette table that does not exceed $400.

9.18.15 Tile Pai Gow Betting and Limits:

a) Betting limits shall be established between the range of $1 - $1,000;

b) The house will charge a five percent commission on all winning player bets plus a fiver per cent commission on all net player-banker wins;

c) If the player-banker loses money, no commission is taken, but commission is taken on any amount that the player-banker wins after all bets are paid out; and

d) The commission will always be charged to the nearest $10.

9.18.16 Craps Equipment:

a) Dice:

i) All dice are the sole property of AGLC and will be considered in its possession at all times;

ii) All dice must be approved and registered with AGLC prior to purchase and all serial numbers, and/or any special markings must be on file with AGLC;

iii) Dice must be ordered from an approved supplier at the casino facility licensee's expense and will be shipped directly to AGLC for storage. Supplier must contact AGLC prior to manufacture for special marking instructions;

iv) Dice inventory on hand in facility shall consist of at least two dice colours or casino facilities must have at least four colour variations of logos imprinted onto them;

v) All costs of dice (including all production costs) will be the sole responsibility of the casino facility licensee including shipping and handling; and

vi) Dice will be issued to casino facility licensees on an as needed basis (quantities of one-month supply recommended).

9.18.17 Craps Betting Limits:

a) Betting limits shall be established between the ranges of $1 - $1,000; and

b) Proposition bet playoffs may not exceed three times the maximum table limit.

9.18.18 Craps Staffing Requirements:

a) Boxman:

i) Is responsible to the pit supervisor and games manager.

b) Stickman:

i) Runs the game under the direction of the boxman;

ii) Picks up losing proposition bets, instructs base dealers to pay winning proposition bets and then places new proposition bets; and

iii) Observes all payouts by dealers and then returns dice to shooter.

SECTION: 10. RULES OF PLAY

Section 10 has been removed, see section 9.18 for rules of play policies. *(Deleted Jan 2021)*

SECTION: 11. SAMPLE FORMS

11.1	Reconciliation of Casino Win/Loss and Pool Contributions
11.2	Daily Summary Report
11.3	Banker's Daily Master Chip/Cash Control
11.4	Cashier's Daily Record
11.5	Master Revenue Report
11.6	Count Room Reconciliation
11.7	Count Room Advisor's Drop Box Count Verification
11.8	Drop Box Count Card
11.9	Opener / Closer Card
11.10	Fill/Credit Slip
11.11	Closing Game Inventory of Chips
11.12	Pit Supervisor's Games Report
11.13	Daily Poker Rake Summary Form
11.14	Manual Progressive Jackpot Financial Control Form *(Amended Aug 2020)*
11.15	Manual Progressive Jackpot Payout Form *(Amended Aug 2020)*
11.16	Manual Progressive Jackpot Non-Participant Form *(Amended Aug 2020)*
11.17	Weekly Craps Reconciliation Form
11.18	Weekly Craps Summary Form
11.19	Facility Chip Inventory Control Form
11.20	Discrepancy Report
11.21	Electronic Gaming Device Discrepancy Report *(Added Jan. 2014)*
11.22	Electronic Games – Casino Retailer Application Form *(Added Jan. 2014)*
11.23	Electronic Games – Casino/REC Certificate of Insurance Form (updated annually) *(Added Jan. 2014)*
11.24	Pre-Authorized Debit (PAD) Agreement for Business (Electronic Games – Casino Retailer) Form *(Added Jan. 2014)*
11.25	Electronic Games – Casino Retailer Agreement *(Added Jan. 2014)*
11.26	Alberta Progressive Jackpot Receipt

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RECONCILIATION OF CASINO WIN/LOSS

Licensee	Licence Number
Casino Dates	Location
Bank & Branch	Casino Account No.

SECTION 1 FINANCIAL EVENT SUMMARY

Win/Loss Day 1 (less Poker, Craps & Tournament)	(1.1)	Deposit (less Poker, Craps & Tournament)	(1.8)
Win/Loss Day 2 (less Poker, Craps & Tournament)	(1.2)	Minus: Opening Float	(1.9)
Win/Loss Day 3 (less Poker, Craps & Tournament)	(1.3)	Plus: US Exchange	(1.10)
TABLE Closer Error *Plus Overage/Minus Shortage*	(1.4)	Plus: Caribbean Poker Payouts *(by chips only)*	(1.11)
TOTAL NET WIN/LOSS	(1.5)	Minus: Caribbean Poker Hard Count	(1.12)
CASH *Plus Overage/Minus Shortage*	(1.6)	CHIPS *Plus Overage/Minus Shortage*	(1.13)
ADJUSTED NET WIN/LOSS	(1.7)	TOTAL	(1.14)

("Adjusted Net Win/Loss" must equal "Total")

NUMBER OF TABLES OPEN DURING THE CASINO EVENT, EXCLUDING POKER & CRAPS: Day 1 ____ Day 2 ____ Day 3 ____

General Manager

SECTION 2 POKER RAKE SUMMARY - OPTION 1

**** Complete this section only when using Regular Casino Chips during Regular Casino Operating Hours ****

Day 1 Rake	$(2.1)	Poker Deposit *[(2.4) plus (2.6) over/minus (2.6) short]*	(2.5)
Day 2 Rake	$(2.2)	Poker Rake Differential *(Minus Overage/Plus Shortage)*	(2.6)
Day 3 Rake	$(2.3)		
TOTAL POKER RAKE	(2.4)	TOTAL	(2.7)

Poker Hours of Operation: From _____ To _____

Number of Poker Tables Open: Day 1 _____ x _____ ($1,400/table/day)
Day 2 _____ x _____ ($1,400/table/day)
Day 3 _____ x _____ ($1,400/table/day) ("Total Poker Rake" must equal "Total")

SECTION 3 CARIBBEAN POKER ACCOUNT

	70% POT #1	5% POT #2
Deposit *(70% of Caribbean Poker Hardcount Minus Caribbean Poker Payouts by Chips)*	(3.1)	0
Deposit *(5% of Caribbean Poker Hardcount)*	0	(3.8)
Minus: Payouts by Cheque	(3.2)	0
Plus: Seed Amount if POT #2 is less than $25,000 *[Enter $5,000 in POT #2 (3.9) when Royal Flush is won]*	0	(3.9)
Plus: Balance Forward *[Pot Balance from Previous Event]*	(3.3)	(3.10)
Plus: Transfer from POT #2	(3.4)	0
Minus: Transfer to POT #1	0	(3.11)
Equals: POT Balances	(3.5)	(3.12)
Meter Reading/Printout Total	(3.6)	(3.13)
Difference (Pot Balance minus Meter Reading)	(3.7)	(3.14)

SECTION 4 TOURNAMENT REVENUE

Entry Fee:	No. of Players _____	X	Entry Fee _____	=	$	
Re-Buys:	No. of Re-Buys _____	X	Re-Buy Fee _____	=	$	
Add-Ons:	No. of Add-Ons _____	X	Add-On Fee _____	=	$	
Cumulative Fee:					$(4.1)	
Maximum Allowable:	No. of Tables _____	X	$3,250/Table	=	$(4.2)	

SPLIT: Operator - 90% of the lesser of (4.1) or (4.2) (4.3)
Minus Payouts to Winning Player(s) (4.4)
Net Operator's Split = $(4.5)
Charity - 10% of the lesser of (4.1) or (4.2), plus 100% of fees in excess of (4.2) (4.6)
Money left for deposit [(4.5) plus (4.6)] (4.7)

Prepared by: _____ Witnessed by: _____

Cash Cage Advisor/Count Room Advisor — General Manager

SECTION 5 CRAPS SUMMARY

Craps Deposit (5.5) _____ Event Win/Loss (5.1) _____

Maximum Allowable: $3,000/table/day

SPLIT: Operator - lessor of 75% of (5.1) or $3,000/table/day — Operator Portion (5.2) _____

Charity - 25% of (5.1) — Charity Portion (5.3) _____

Surplus/Deficit - 75% of Win/Loss Minus $3,000/table/day — Surplus or Deficit (5.4) _____

SECTION 6 DISBURSEMENT OF FUNDS

◆ FACILITY LICENSEE

Facility Licensee's Portion *[of (1.5)]* *[Edmonton/Calgary (1.5) x 0.5; St. Albert (1.5) x 0.65; Others (1.5) x 0.75]*	(6.1)	
Facility Licensee's Portion *[75% of (2.4)]*	(6.2)	
Poker Rake Differential *[from (2.6)]* *[PLUS Overage/MINUS Shortage]*	(6.3)	
Facility Licensee Portion *[from (4.5)]*	(6.4)	
Equals: Net Facility Licensee Portion	(6.6)	
Minus: Approved Facility Licensee Expense [Excluding GST]	(6.7)	
Equals: Event Surplus/(Deficit)	(6.8)	
Plus: Previous Accumulated Surplus/(Deficit) *[(6.20) from Previous Event]*	(6.9)	
Equals: Current Surplus/(Deficit)	(6.20)	
Facility Licensee Portion *[from (5.2)]*	(6.5)	
Craps Surplus/(Deficit) *[from (5.4)]*		
Plus: Craps Accumulated Surplus/(Deficit) *[(6.22) from Previous Event]*	(6.21)	
Equals: Current Craps Surplus/(Deficit)	(6.22)	

(If this is the last event of the quarter, the facility licensee must pay any surplus (5.9) to the trustee)

Note: GST will be paid by the Trustee (out of pooled funds) to the facility licensee before disbursing the pool. The amount paid is based on the facility licensee's fees from the quarterly period.

◆ CHARITY POOL

Charity's Portion *[of (1.5)]* *[Edmonton/Calgary (1.5) x 0.5; St. Albert (1.5) x 0.35; Others (1.5) x 0.25]*	(6.10)	
Charity's Portion *[25% of (2.4)]*	(6.11)	
Less Cash Shortage/Add Cash Overage *[from (1.6)]*		
Charity's Portion *[from (4.6)]*		
Charity's Portion *[from (5.3)]*		
Net Charity's Portion	(6.12)	

◆ EXPENSES

*Concession	(6.13)	
**Cash Cage Advisor	(6.14)	
***Count Room Advisor	(6.15)	
Total Expenses *[(6.13) plus (6.14) plus (6.15)]*	(6.16)	
Pool Contribution *[(6.12) minus (6.16)]*	(6.17)	
Previous Pool Balance *[(6.19) from Previous Event]*	(6.18)	
Current Pool Balance *[(6.17) plus (6.18)]*	(6.19)	

Maximum Deductible Expenses:
*Edmonton/Calgary/St. Albert $346/Others $173
**Edmonton/Calgary/St. Albert $1020/Others $557
***Edmonton/Calgary/St. Albert $510/Others $403

SECTION 7 CASH/CHEQUE RECONCILIATION

A. CASH		
1) Deposits *[from (1.8)]*		
2) Poker Deposit *[from (2.5)]*		
3) Tournament Revenue *[from (4.7)]*		
4) Craps Deposit *[from (5.5)]*		
Total Cash		
B. CHEQUES		
1) Facility Fee *[(6.1) if positive; "0" if negative + (6.2) ± (6.3) + (6.4) ± (6.5) ± (1.13)]*		
2) Caribbean Poker *[(1.12) minus (1.11)]*		
3) Pool Contribution *[from (6.17); if negative, enter "0"]*		
4) Concession (Actual)		
5) Cash Cage Advisor (Actual)		
6) Count Room Advisor (Actual)		
7) Outside Concession Expenses (if applicable)		
8) Float Replacement *[from (1.9)] or [in case of Casino Loss, from C.1 - Event Loss Procedure]*		
Total Cheques		
Total Cash minus Total Cheques		
C. ADDITIONAL FUNDS		
1) Funds from Trustee to Charity *[from E.3 Note 1 - Event Loss Procedure]*		
2) US Exchange Charity *[from (1.10) Charity's bank will credit account]*		
3) Funds from Charity's other sources required to cover balance of "Event" expenses		
BALANCE (should be "0")		

GST CALCULATION: (at end of pooling period)

1. Sum of payments to facility licensee *[(6.6) of all events during the quarter],* minus surplus paid to pool (6.10) at end of quarter = Total Net Payment to facility licensee.
2. Total Net Payment to facility licensee x 5% = Total GST.
3. Trustee writes cheque for GST to facility licensee.

COPIES: 1 - Licensee 2 - Casino Facility Licensee 3 - Trustee 4 - AGLC (to be faxed upon completion of event)

DAILY SUMMARY REPORT (AG1095)

Prepared by Banker and Count Room Supervisor, and reviewed by General Manager. Used to advise General Manager, daily, of overages and shortages in casino, and identify areas in which they occurred. Also, a daily chip and cash summary.

Instructions:

a. Banker completes heading information and:
   i. In section one, enters from Cashiers' Daily Record, required information at end of shift/day. Totals each column.
   ii. In section two, enters from Bankers' Daily Master Chip/Cash Control, overage or shortage amounts remaining in *Running Balance* sections four and eight at end of shift/day.
   iii. In section 6, completes *Daily Chip Summary*:
      - On first day:
        - enters total of *Closing Chip Inventory* from Fill Slip,
        - enters total from *Closing Game Inventory of Chips*,
        - adds totals together, and subtracts this from *Original Opening Chip Inventory of 1st Day*. Difference will be chips over or outstanding for that day.
      - On final day:
        - enters *Closing Chip Inventory* from Fill Slip and subtracts from *Original Opening Chip Inventory of 1st Day*. Difference will be chips over or outstanding at end of casino.
   iv. In section seven, records details for:
      - Closing Cage Bankroll and Fill Slip number,
      - Next Days' Opening Bankroll for Banker and Fill Slip number,
      - Total deposits for Banker, and
      - Signs forms with Cashiers' Cage Advisor and delivers to General Manager.

b. Count Room Supervisor:
   i. In section four, from Count Room Reconciliation records:
      - Total over/short from section one, Drop Counts,
      - Total over/short from section four, Summary, and
      - Adds or Subtracts for Count Room Net overage/shortage for day.
   ii. In section five, completes *Summary* by entering Net Over/Short from sections one, two, three and four, and records Total Over/Short for day.
   iii. Completes section seven *Daily Cash Summary*, from information recorded on Count Room Reconciliation. Signs with Count Room Advisor and delivers to General Manager.

c. General Manager reviews completed report with Banker, Cashiers' Cage Advisor, Count Room Supervisor and Count Room Advisor, signs, and if required, completes a Discrepancy Report.

A

DAILY SUMMARY 00000

GAMING CONTROL BRANCH

NAME OF ORGANIZATION: DATE:

SECTION 1 - CASHIER'S (AGC 1085) NAME	NO.	TOTAL CASH FILLS	TOTAL CHIP CREDITS -	U.S. EXCH. + / -	CASH REQUIRED =	CASH TO BANKER -	OVER / SHORT =
	1						
	2						
	3						
	4						
	5						
	6						
	7						
	8						
	9						
	10						
TOTALS							NET O\S

SECTION 2 - BANKER (S) OVER/SHORT (AGC1089)

	CASH OVER / SHORT	CHIPS OVER / SHORT
1ST BANKER	$	$
2ND BANKER	$	$
3RD BANKER	$	$
NET OVER / SHORT	$	$

SECTION 3 - FILL CLERK(S) OVER / SHORT (AGC2060)

NAME	OVER / SHORT
1.	$
2.	$
3.	$
4.	$
5.	$
6.	$
NET OVER / SHORT	$

SECTION 4 - COUNT ROOM OVER/SHORT (AGC1091)

	OVER / SHORT
SECTION 1 - DROPS	$
SECTION 4 - SUMMARY	$
NET OVER / SHORT	$

SECTION 5 - OVER / SHORT SUMMARY

	NET OVER / SHORT
CASHIERS	$
BANKER - CASH	$
BANKER - CHIPS	$
FILL CLERK	$
COUNT ROOM	$
TOTAL OVER / SHORT	$

SECTION 6 - DAILY CHIP SUMMARY

CLOSING BANK INVENTORY	$
FILL SLIP NO:	
CLOSING GAME INVENTORY (AGC 1090)	$
SUB TOTAL	$
LESS: ORIGINAL OPENING INVENTORY	$
CHIPS: OVER / OUTSTANDING	$

SECTION 7 - DAILY CASH SUMMARY

COUNT ROOM - TOTAL CASH (DROPS)	$
LESS: TOTAL FILLS TO BANKER	$
SUB TOTAL	$
CLOSING CAGE BANKROLL	$
FILL SLIP NO:	
SUB TOTAL	$
LESS: NEXT DAYS OPENING BANKROLL	
COUNT ROOM	$
FILL SLIP NO:	
BANKER	$
FILL SLIP NO:	
TOTAL NEXT DAYS OPENING BANKROLL	$
SUB TOTAL	$
LESS: DEPOSITS	
COUNT ROOM	$
BANKER	$
TOTAL DEPOSITS	$
OVER/SHORT	$

SIGNED:

BANKER (S) (1) _____ (2) _____ (3)

COUNT ROOM SUPERVISOR GENERAL MANAGER

COUNT ROOM ADVISOR CASHIERS CAGE ADVISOR

AGC 1095 (Rev Nov 91) Original - To Gaming Control Branch

BANKER'S DAILY MASTER CHIP/CASH CONTROL (AG1089)

Form used by Banker to record:

- Opening Chip Inventory and Cash Bankroll
- Opening fills to games and Cashier(s)
- Other transactions with Cashier(s) and Count Room
- Next Days' Opening Cage Bankroll and daily bank deposits
- Game Closers on final day

Instructions:

a. Banker, at beginning of day/shift, completes heading information:
   - from Fill Slips marked *Opening Chip Inventory*, records details on line one of sections one and three, and running balance section four.
   - for *Opening Cage Bankroll*, on first line of sections five and seven and running balance, section eight.

b. During shift, all transfers of chips/cash (fills/credits) between Banker and Cashier(s) and Count Room are recorded by Banker. Banker adjusts the running balance for each entry.

c. At First Day Closing, Banker records:
   - Closing Cage Chip Inventory,
   - Next Days Opening Bankroll, and
   - bank deposits.

   Banker adjusts running balances for each entry.

d. At Final Day Closing, Banker records:
   - Game Closers,
   - Closing Cage Chip Inventory, and
   - bank deposits.

   Banker adjusts running balances for each entry.

e. Any balance remaining in Running Balance sections (four and eight) are either an overage or shortage. Amounts are recorded on Daily Summary, section two -- Banker(s).

f. At end of shift/day, after all transactions are complete, Banker and Cashiers' Cage Advisor sign where designated.

AGLC
Choices Albertans can trust.

BANKER'S DAILY MASTER CHIP/CASH CONTROL **00000**

Name of Organization _____

Date _____ Shift _____

PLEASE READ AND SIGN

WE HEREBY CERTIFY THAT ALL ITEMS ENTERED ON THIS DOCUMENT HAVE BEEN MADE BY THE UNDERSIGNED, AND ARE CORRECT AND ACCURATE IN EVERY MATERIAL PARTICULAR TO THE BEST OF OUR KNOWLEDGE AND ABILITY AND HAVE BEEN COMPLETED AND SUPPORTED BY DOCUMENTS REFERRED TO ON THIS FORM.

BANKER: _____

CASHIER'S CAGE ADVISOR: _____

CHIPS

(1)			(2)	(3)	(4)
FILL/CREDIT SLIP NUMBER	TIME	TRANSACTION WITH	FILLS TO (-)	CREDITS FROM (+)	RUNNING BALANCE
TOTALS					

FORM/LIC/GAM/5409(95/11) **Original - To Alberta Gaming, Liquor and Cannabis Commission**

CASH

(5)			(6)	(7)	(8)
FILL/CREDIT SLIP NUMBER	TIME	TRANSACTION WITH	FILLS TO (-)	CREDITS FROM (+)	RUNNING BALANCE
TOTALS					

Enter Required Information on Daily Summary - A.G. 1095

CASHIER'S DAILY RECORD (AG1085)

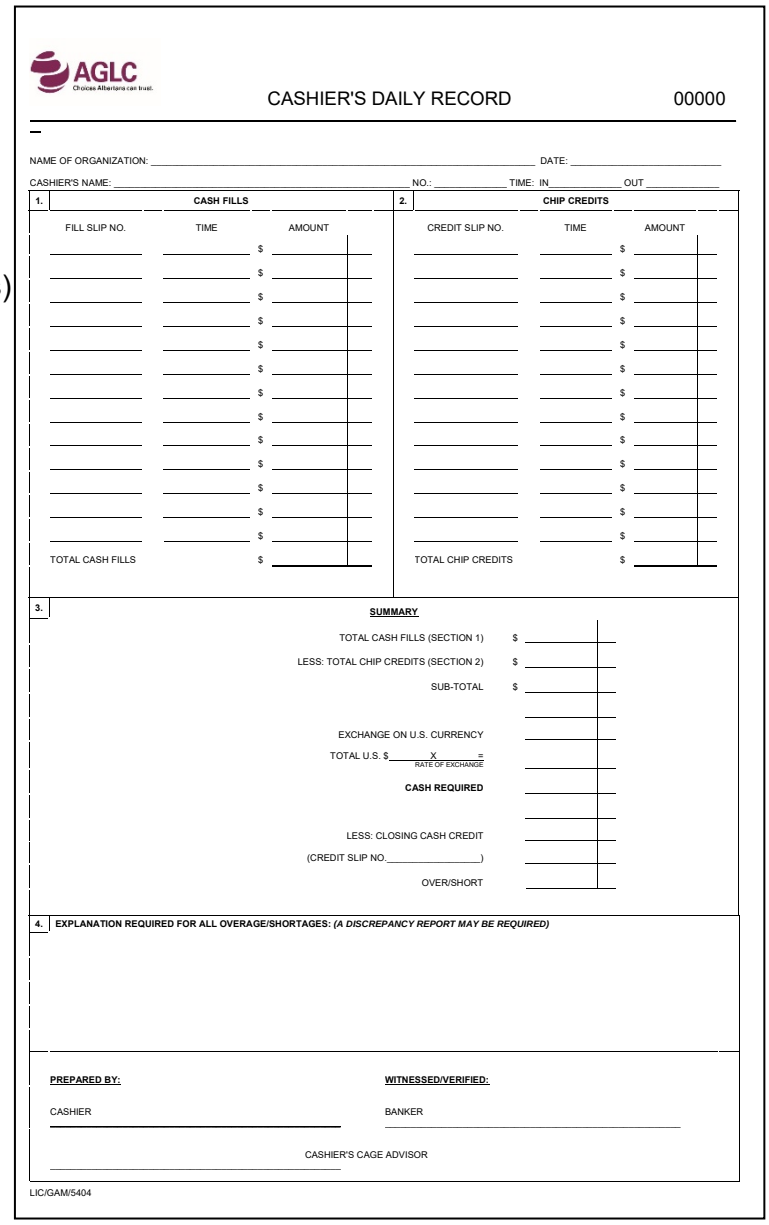
Form is prepared by Cashier to record all transactions during shift/day between Cashier and Banker.

Instructions:

a. At beginning of shift, Cashier completes heading information. In section one, (Cash Fills) enters Fill Slip serial number, time and total value of opening fill.

b. During shift, Cashier records:
- all interim cash transfers from Banker (fills) in section one, and
- all chip transfers to Banker (credits) in section two.

c. At end of shift/day, Cashier:
- enters totals for Section one and two.
- completes section three *Summary*.
- uses section four as necessary.
- signs with Banker and Cashiers' Cage Advisor.



AGLC
Choices Albertans can trust.

CASHIER'S DAILY RECORD 00000

NAME OF ORGANIZATION: _____ DATE: _____

CASHIER'S NAME: _____ NO.: _____ TIME: IN _____ OUT _____

1. **CASH FILLS**

FILL SLIP NO.	TIME	AMOUNT
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
TOTAL CASH FILLS		$

2. **CHIP CREDITS**

CREDIT SLIP NO.	TIME	AMOUNT
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
TOTAL CHIP CREDITS		$

3. **SUMMARY**

TOTAL CASH FILLS (SECTION 1) $
LESS: TOTAL CHIP CREDITS (SECTION 2) $
SUB-TOTAL $

EXCHANGE ON U.S. CURRENCY
TOTAL U.S. $_____ X _____ = _____
RATE OF EXCHANGE

CASH REQUIRED

LESS: CLOSING CASH CREDIT
(CREDIT SLIP NO._____)
OVER/SHORT

4. **EXPLANATION REQUIRED FOR ALL OVERAGE/SHORTAGES:** ***(A DISCREPANCY REPORT MAY BE REQUIRED)***

PREPARED BY:

CASHIER _____

WITNESSED/VERIFIED:

BANKER _____

CASHIER'S CAGE ADVISOR _____

LIC/GAM/5404

MASTER REVENUE REPORT (AG1088)

Prepared by Count Room Advisor assisted by Count Room Supervisor. Used to calculate individual game performance.

Instructions: Count Room Advisor completes heading information and enters:

1. Game type, number and limits, e.g.,
2.

   $1-25 $2-50
   BJ 1 BJ 3
   BJ 2

   NOTE: There shall be a separate listing for each game type. After all individual games have been calculated, grand total for each type of game shall be entered on a separate page marked *Summary*.
2. Total opening value of chips/coin from Opener Card.
3. Total value of chips/coin transferred to game.
4. Total value of chips/coin transferred to Banker from game.
5. Total value of chips/coin at game at end of day from Closer Card.
6. T.T.L. (Total Table Liability) is net balance of chips/coin transactions and is calculated as follows:

TTL = [Column (2) *Opener*] **+** [Column (3) *Fills*] **-** [Column (4) *Credits*] **+** [Column (5) *Closer*]

   NOTE: When combined totals of column 2 (opener) and column 3 (fills) are less than total of column 4 (credits) and 5 (closer), this is a negative result and amount entered in T.T.L. column shall be bracketed [ ]. When totalling T.T.L. column this amount is subtracted.
7. Total value of all cash/chips deposited in drop box during day as recorded on Drop Box Count Cards.

8/9. To determine whether a game has won or lost for the day, compare the T.T.L. to actual revenue Drop.

   a. **WIN** - if T.T.L. is less than the drop, it is a win, enter the difference between the two in *WIN* column, i.e.

T.T.L.	DROP	WIN	LOSS
$100	$200	$100	--

   b. **LOSS** - If T.T.L. is more than the drop, it is a loss, enter the difference between the two in *LOSS* column, i.e.

T.T.L.	DROP	WIN	LOSS
$200	$100	--	$100

   c. **WIN** - If T.T.L. is a negative [ ] amount, it is a win, **add** this amount to drop and enter result in *WIN* column, i.e.

T.T.L.	DROP	WIN	LOSS
[$100]	$200	$300	--

10. To calculate *WIN* or *LOSS* percentage, divide WIN (8) or LOSS (9) by DROP (7) and multiply by 100; enter in (10).
11. Count Room Advisor and Count Room Supervisor sign.
12. Reporting poker results on the Master Revenue Report.

    a. As poker games do not have a house *win*, nor is a *percentage* relevant to the poker revenue figures, poker table activity is reported separately at the end of the Master Revenue Report. Adding the rake and percentage into the overall Master Revenue Report results in wrong *win* and *percentage* figures.

    b. In order to ensure consistent and valid Master Revenue Reports, casinos operating poker tables report poker results as follows:

Game	Open	Fills	Credits	Closer	T.T.L.	Drop	Win	Loss	%
Csno Tot	50,000	20,000	1,000	40,000	29,000	38,000	9,000	0	24.0
							Rake	xxxx	xxx
Pok 1	5,000	3,000	0	4,000	**4,000**	**4,000**	1,875		
Pok 2	10,000	5,000	0	9,000	**6,000**	**6,000**	2,950		
Pok Tot	15,000	8,000	0	13,000	**10,000**	**10,000**	**4,825**		

    c. If the Total Table Liability and Drop are not equal an error has occurred. When using this method of balancing, errors or discrepancies are easily detected, and narrows down the possible causes, making the game more secure.

    d. The rake is counted and recorded separately at all times.

       i. rake box is pulled at the same time as the drop boxes.

MASTER REVENUE REPORT -- Continued

ii. rake box is counted in the count room and should be the first box counted.

iii. chips are recorded and immediately transferred to the Banker so that Banker can reconcile their chip inventory without waiting for the entire count to be completed.

e. Should an interim pull be needed for the rake box, regular procedures for conducting an interim pull are followed.

A

MASTER REVENUE REPORT 00000

GAMING CONTROL BRANCH

NAME OF ORGANIZATION: _____ DATE: _____

GAME & NO.	OPENER	FILLS	CREDITS	CLOSER	T.T.L.	DROP	WIN	LOSS	%

PREPARED BY:
(COUNT ROOM ADVISOR)

ASSISTED BY:
(COUNT ROOM SUPERVISOR)

AGC 1088 (Rev. Nov. 91) **Original - To Gaming Control Branch**

COUNT ROOM RECONCILIATION (AG1091)

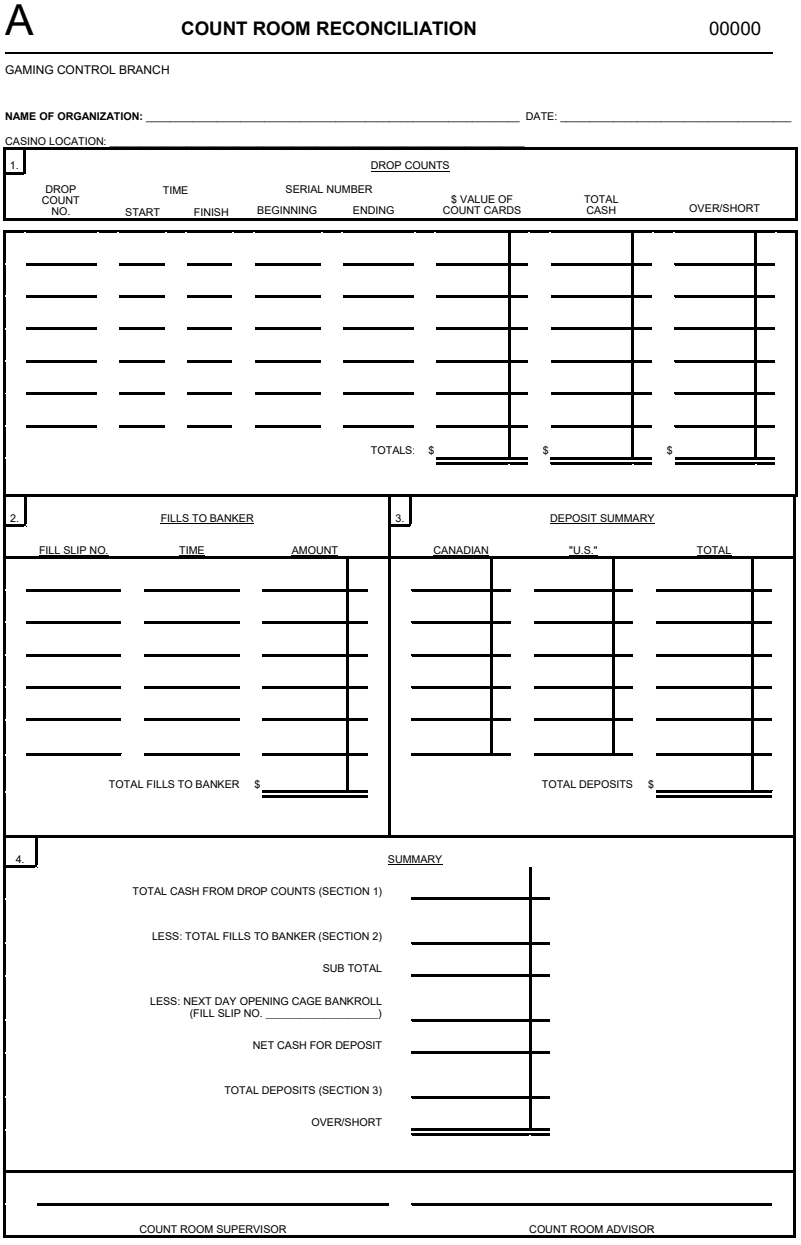
Prepared by Count Room Supervisor to record and summarize Count Room transactions.

Instructions:

a. Count Room Supervisor completes heading information and, for all counts, enters:
   - in section one required information from Drop Box Count Cards.
   - in section two, the value of each cash transfer to Banker (fills), together with Fill Slip number and time of transfer.
   - in section three, the value of each bank deposit prepared.

b. At end of day, totals for sections one, two and three are entered and section four, Summary of Cash, is completed.

c. Count Room Supervisor and Count Room Advisor sign.



A **COUNT ROOM RECONCILIATION** 00000

GAMING CONTROL BRANCH

NAME OF ORGANIZATION: _____ DATE: _____

CASINO LOCATION: _____

1. DROP COUNTS

DROP COUNT NO.	TIME START	TIME FINISH	SERIAL NUMBER BEGINNING	SERIAL NUMBER ENDING	$ VALUE OF COUNT CARDS	TOTAL CASH	OVER/SHORT
TOTALS:					$	$	$

2. FILLS TO BANKER

FILL SLIP NO.	TIME	AMOUNT
TOTAL FILLS TO BANKER		$

3. DEPOSIT SUMMARY

CANADIAN	"U.S."	TOTAL
	TOTAL DEPOSITS	$

4. SUMMARY

TOTAL CASH FROM DROP COUNTS (SECTION 1)	
LESS: TOTAL FILLS TO BANKER (SECTION 2)	
SUB TOTAL	
LESS: NEXT DAY OPENING CAGE BANKROLL (FILL SLIP NO. _____)	
NET CASH FOR DEPOSIT	
TOTAL DEPOSITS (SECTION 3)	
OVER/SHORT	

COUNT ROOM SUPERVISOR COUNT ROOM ADVISOR

AGC 1091 (Rev. Nov. 91)

Original - To Gaming Control Branch

COUNT ROOM ADVISOR'S DROP BOX COUNT VERIFICATION (AG287)

Prepared by Count Room Advisor to provide an independent record of:

- cash/coin/chip count of each drop box, and
- summary of cash/coin/chip amalgamation.

Instructions:

Count Room Advisor completes heading information. Using one section for each drop box (as count proceeds), enters:

- game and number,
- total number and value for each denomination of bills,
- total value of all coin in drop box,
- total number and value for each denomination of chips,
- records totals as required, and signs.

COUNT ROOM ADVISORS
DROP BOX COUNT VERIFICATION

NAME OF ORGANIZATION: _____ DATE: _____

DROP COUNT NO. _____ TIME: _____

GAME AND NO.				GAME AND NO.			
CHIPS		CASH		CHIPS		CASH	
X $500. =		X $1000. =		X $100. =		X $1000. =	
X $100. =		X $ 100. =		X $ 25. =		X $ 100. =	
X $ 25. =		X $ 50. =		X $ 5. =		X $ 50. =	
X $ 5. =		X $ 20. =		X $ 2. =		X $ 20. =	
X $ 1. =		X $ 10. =		X $ 1. =		X $ 10. =	
X $ .50 =		X $ 5. =		X $ .50 =		X $ 5. =	
X =		X $ 2. =		X =		X $ 2. =	
TOTAL CHIPS $		X $ 1. =		TOTAL CHIPS $		X $ 1. =	
		COIN =				COIN =	
		TOTAL CASH $				TOTAL CASH $	
		ADD TOTAL CHIPS $				ADD TOTAL CHIPS $	
COUNT ROOM ADVISOR		TOTAL DROP $		COUNT ROOM ADVISOR		TOTAL DROP $	

GAME AND NO.				GAME AND NO.			
CHIPS		CASH		CHIPS		CASH	
X $500. =		X $1000. =		X $100. =		X $1000. =	
X $100. =		X $ 100. =		X $ 25. =		X $ 100. =	
X $ 25. =		X $ 50. =		X $ 5. =		X $ 50. =	
X $ 5. =		X $ 20. =		X $ 2. =		X $ 20. =	
X $ 1. =		X $ 10. =		X $ 1. =		X $ 10. =	
X $ .50 =		X $ 5. =		X $ .50 =		X $ 5. =	
X =		X $ 2. =		X =		X $ 2. =	
TOTAL CHIPS $		X $ 1. =		TOTAL CHIPS $		X $ 1. =	
		COIN =				COIN =	
		TOTAL CASH $				TOTAL CASH $	
		ADD TOTAL CHIPS $				ADD TOTAL CHIPS $	
COUNT ROOM ADVISOR		TOTAL DROP $		COUNT ROOM ADVISOR		TOTAL DROP $	

GAME AND NO.				GAME AND NO.			
CHIPS		CASH		CHIPS		CASH	
X $500. =		X $1000. =		X $100. =		X $1000. =	
X $100. =		X $ 100. =		X $ 25. =		X $ 100. =	
X $ 25. =		X $ 50. =		X $ 5. =		X $ 50. =	
X $ 5. =		X $ 20. =		X $ 2. =		X $ 20. =	
X $ 1. =		X $ 10. =		X $ 1. =		X $ 10. =	
X $ .50 =		X $ 5. =		X $ .50 =		X $ 5. =	
X =		X $ 2. =		X =		X $ 2. =	
TOTAL CHIPS $		X $ 1. =		TOTAL CHIPS $		X $ 1. =	
		COIN =				COIN =	
		TOTAL CASH $				TOTAL CASH $	
		ADD TOTAL CHIPS $				ADD TOTAL CHIPS $	
COUNT ROOM ADVISOR		TOTAL DROP $		COUNT ROOM ADVISOR		TOTAL DROP $	

AGC 287 (Rev. Dec. 90)

DROP BOX COUNT CARD (AG1092)

Prepared by Count Room Supervisor to record:

i. Total cash/chips in each drop box by denomination for all counts,
ii. Summary of cash amalgamated after each count.

Instructions:

a. For each drop box, Count Room Supervisor completes heading information.
b. As count proceeds, Count Room Supervisor enters:
   - game and number,
   - total number and value for each denomination of bills,
   - total value of all coin in drop box,
   - total number and value for each denomination of chips, and
   - records totals as required.
c. Signed by:
   - Count Room Supervisor, two Sorters and Counter for individual box counts,
   - Count Room Supervisor and Amalgamator for *Summary* of amalgamated cash and chips.

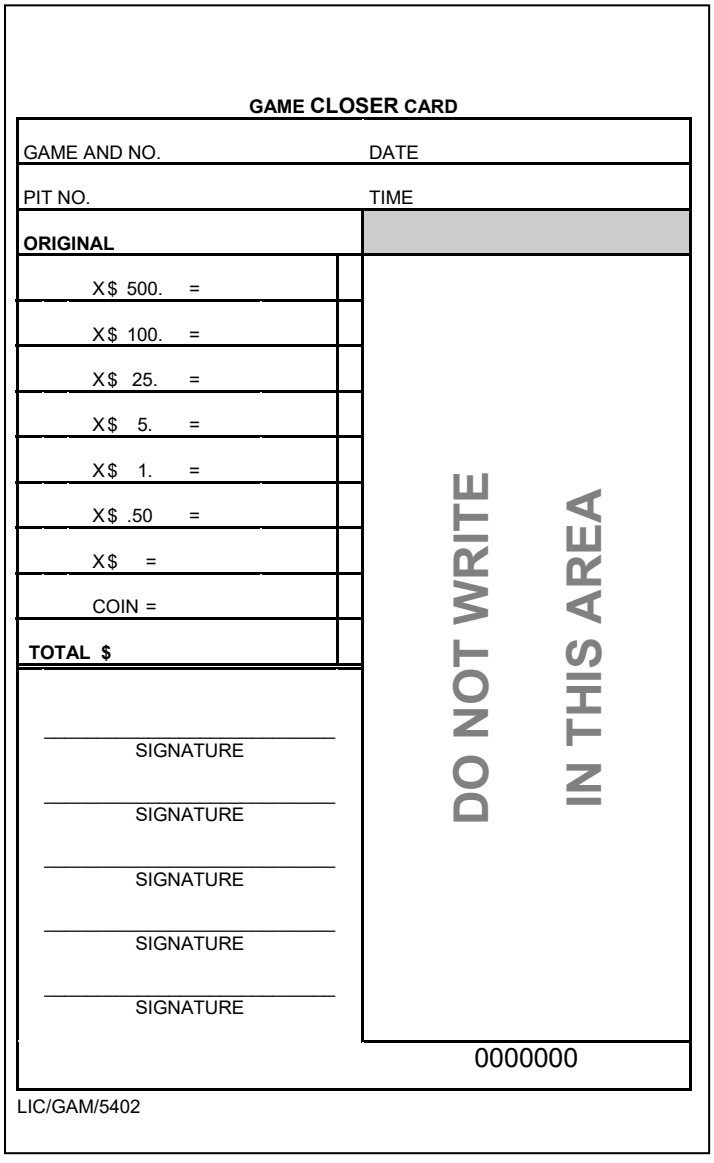
DROP BOX COUNT CARD			
GAME AND NO.:		DATE:	
DROP COUNT NO.:		TIME:	
CHIPS		**CASH**	
X $500. =		X $1000. =	
X $100. =		X $ 100. =	
X $ 25. =		X $ 50. =	
X $ 5. =		X $ 20. =	
X $ 1. =		X $ 10. =	
X $ .50 =		X $ 5. =	
X =		X $ 2. =	
TOTAL CHIPS $		X $ 1. =	
		COIN =	
		TOTAL CASH $	
_____ SIGNATURE		**ADD TOTAL CHIPS $**	
_____ SIGNATURE		**TOTAL DROP $**	
_____ SIGNATURE			
_____ SIGNATURE			

OPENER/CLOSER CARD (AG1093)

Form is prepared by General Manager or Banker on first day (depending on opening procedures); and by Pit Supervisor (closing on interim/end of day). It is used to record quantity and value of chips/coin at individual games during opening, interim closing/opening, and closing for each day. Original card is marked *Closer* and duplicate *Opener*.

Instructions:

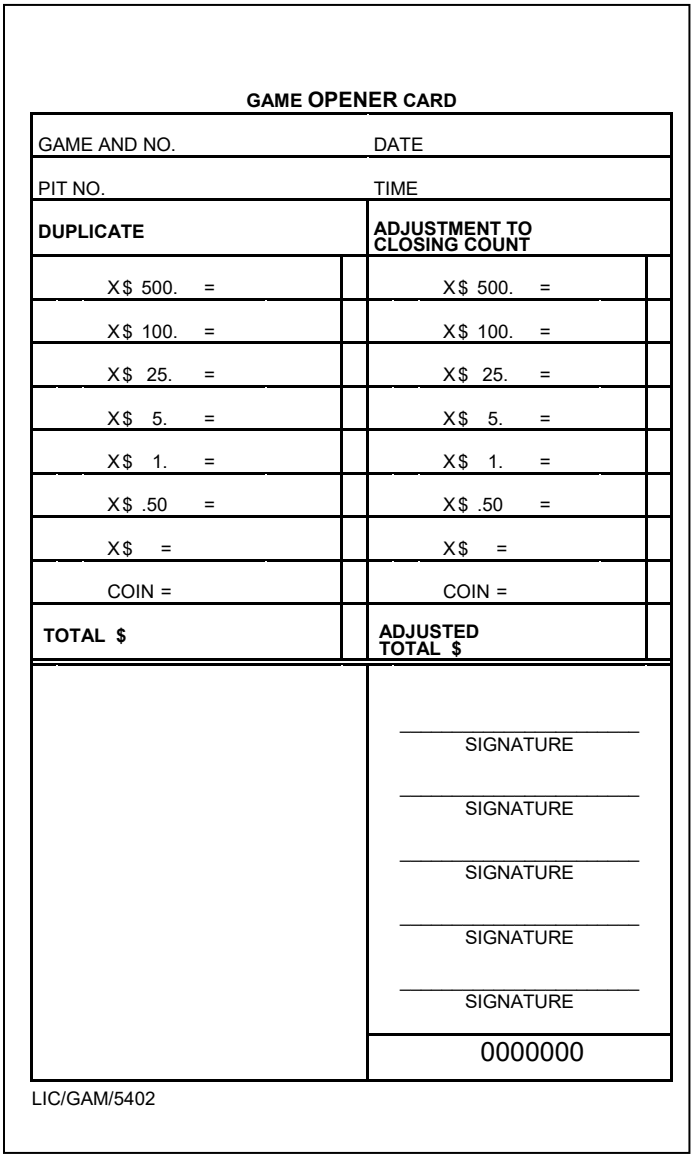
Specific procedures vary with each type of transaction (see right).



GAME CLOSER CARD

GAME AND NO.	DATE
PIT NO.	TIME
ORIGINAL	
X$ 500. =	DO NOT WRITE IN THIS AREA
X$ 100. =	
X$ 25. =	
X$ 5. =	
X$ 1. =	
X$ .50 =	
X$ =	
COIN =	
TOTAL $	
SIGNATURE	0000000
SIGNATURE	
SIGNATURE	
SIGNATURE	
SIGNATURE	

LIC/GAM/5402



GAME OPENER CARD

GAME AND NO.		DATE
PIT NO.		TIME
DUPLICATE		**ADJUSTMENT TO CLOSING COUNT**
X$ 500. =		X$ 500. =
X$ 100. =		X$ 100. =
X$ 25. =		X$ 25. =
X$ 5. =		X$ 5. =
X$ 1. =		X$ 1. =
X$ .50 =		X$ .50 =
X$ =		X$ =
COIN =		COIN =
TOTAL $		**ADJUSTED TOTAL $**
		SIGNATURE
		SIGNATURE
		SIGNATURE
		SIGNATURE
		SIGNATURE
		0000000

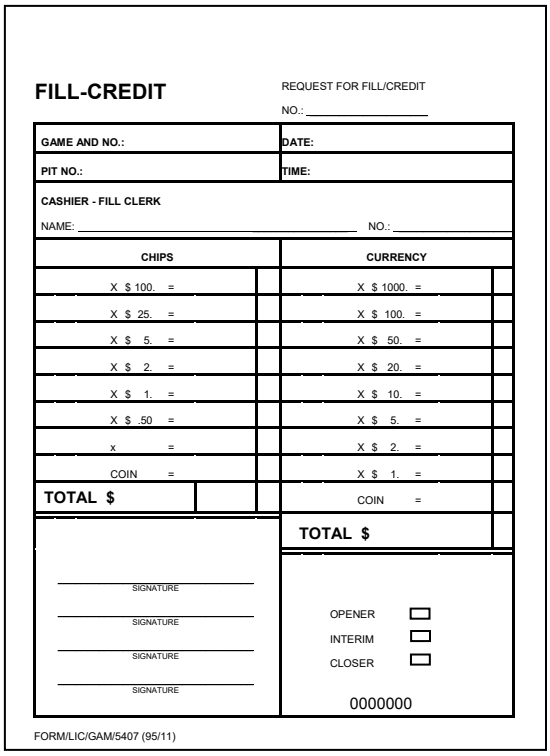
LIC/GAM/5402

FILL/CREDIT SLIP (AG1094)

Used to document transfers of chips and cash/coin in the casino. Each slip is a three-part pre-numbered form in booklets of 50 sets per book. Original (white) and duplicate (pink) are removed, third copy (yellow) remains in book for return to Licensing Division.

Staff using this form varies with type of transaction involved (see below). "Game and No." and "Pit No." boxes are only used in transactions with games, as is "Request For Fill/Credit No." "Cashier - Fill Clerk" box is used only when either the Cashier or Banker is involved in a transaction.

Type of Transaction and Text Reference	Para	Page
Opening Chip/Cash Inventories to Banker 1st da	2 / 3	22
2nd day	1	29
Chip Transfer -		
Cashier(s) to Banker (Credit)	1	24
Banker to Games (Fill)	4	25
Games to Banker (Credit)	5	25
Count Room to Banker (Interim)	8	26
Count Room to Banker (Closing 1st day)	3	28
Banker to General Manager 1st day	3	28
2nd day	4	31
Game Closers 2nd day	1	30
Chip/Cash Transfer		
Banker to Banker	3	24
Cashier to Banker (Credit)	2 / 2	27 / 30
Cash Transfer		
Banker to Cashier (Opener)	5 / 2	23 / 29
Banker to Cashier (Fill)	2	24
Count Room to Banker (Interim Fill)	9 / 3	27 / 29
Closing Cage Bankroll 1st day	4	28
2nd day	3	30



FILL-CREDIT

REQUEST FOR FILL/CREDIT NO.: _____

GAME AND NO.: | DATE:

PIT NO.: | TIME:

CASHIER - FILL CLERK

NAME: _____ NO.: _____

CHIPS		CURRENCY	
X $ 100. =		X $ 1000. =	
X $ 25. =		X $ 100. =	
X $ 5. =		X $ 50. =	
X $ 2. =		X $ 20. =	
X $ 1. =		X $ 10. =	
X $ .50 =		X $ 5. =	
x =		X $ 2. =	
COIN =		X $ 1. =	
TOTAL $		COIN =	
		TOTAL $	

SIGNATURE

SIGNATURE

SIGNATURE

SIGNATURE

OPENER ☐

INTERIM ☐

CLOSER ☐

0000000

FORM/LIC/GAM/5407 (95/11)

CLOSING GAME INVENTORY OF CHIPS (AG1090)

Prepared by Chip Runner and used to record total chips by denomination and coin on each game at close of each day.

Instructions:

a. Chip Runner completes heading information.

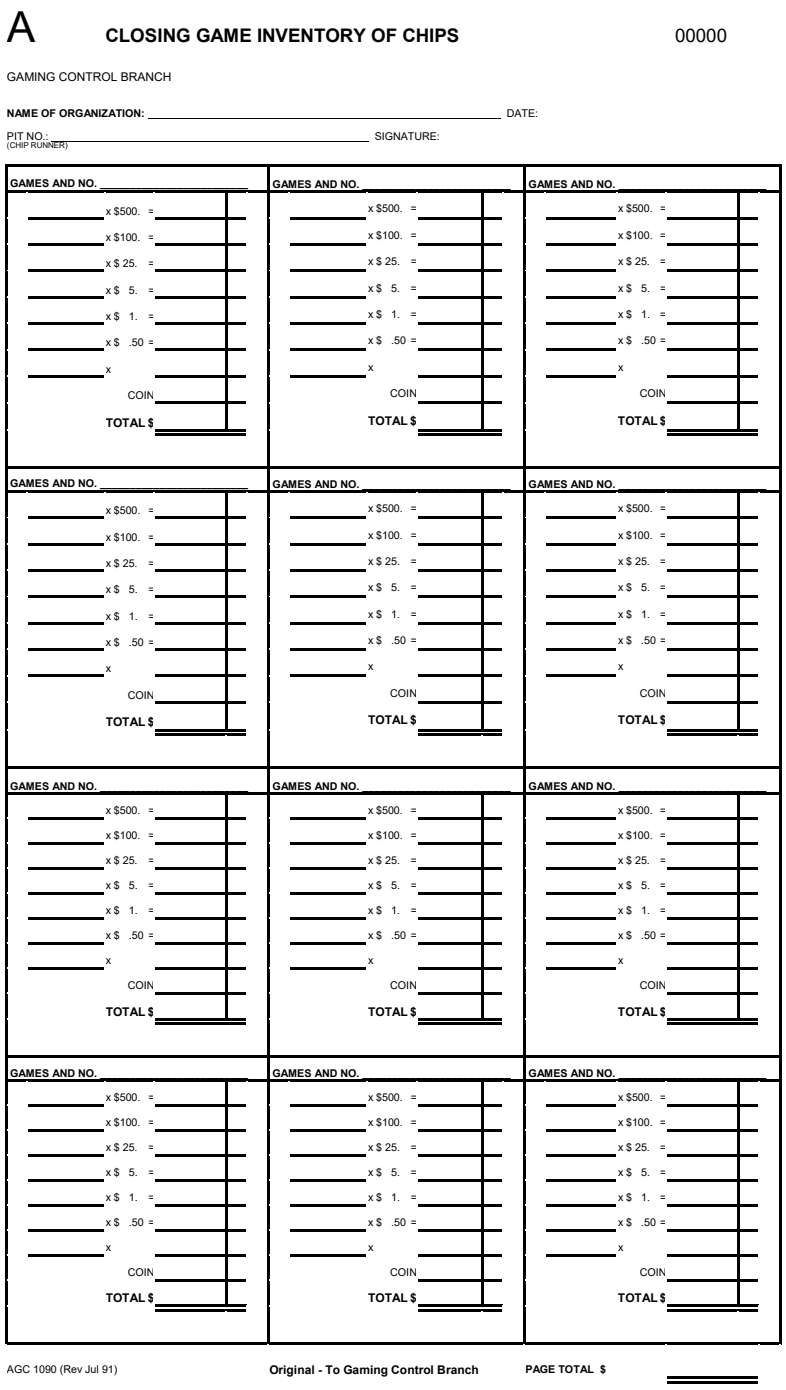
b. Pit Supervisor, witnessed by Dealer, counts chips/coin at each game

c. Chip Runner records quantity and value of each denomination in appropriate boxes. These should agree with those recorded by Pit Supervisor on Closer Card.

d. When all counting is completed and verified, values of each denomination for each game are added and entered under *Total*.

e. Chip Runner signs and delivers to Banker at end of shift.

f. Banker enters total value of each page in right hand bottom corner.



A **CLOSING GAME INVENTORY OF CHIPS** 00000

GAMING CONTROL BRANCH

NAME OF ORGANIZATION: _____ DATE:

PIT NO.: _____ SIGNATURE:
(CHIP RUNNER)

GAMES AND NO.	**GAMES AND NO.**	**GAMES AND NO.**
x $500. =	x $500. =	x $500. =
x $100. =	x $100. =	x $100. =
x $ 25. =	x $ 25. =	x $ 25. =
x $ 5. =	x $ 5. =	x $ 5. =
x $ 1. =	x $ 1. =	x $ 1. =
x $ .50 =	x $ .50 =	x $ .50 =
x	x	x
COIN	COIN	COIN
TOTAL $	**TOTAL $**	**TOTAL $**
GAMES AND NO.	**GAMES AND NO.**	**GAMES AND NO.**
x $500. =	x $500. =	x $500. =
x $100. =	x $100. =	x $100. =
x $ 25. =	x $ 25. =	x $ 25. =
x $ 5. =	x $ 5. =	x $ 5. =
x $ 1. =	x $ 1. =	x $ 1. =
x $ .50 =	x $ .50 =	x $ .50 =
x	x	x
COIN	COIN	COIN
TOTAL $	**TOTAL $**	**TOTAL $**
GAMES AND NO.	**GAMES AND NO.**	**GAMES AND NO.**
x $500. =	x $500. =	x $500. =
x $100. =	x $100. =	x $100. =
x $ 25. =	x $ 25. =	x $ 25. =
x $ 5. =	x $ 5. =	x $ 5. =
x $ 1. =	x $ 1. =	x $ 1. =
x $ .50 =	x $ .50 =	x $ .50 =
x	x	x
COIN	COIN	COIN
TOTAL $	**TOTAL $**	**TOTAL $**
GAMES AND NO.	**GAMES AND NO.**	**GAMES AND NO.**
x $500. =	x $500. =	x $500. =
x $100. =	x $100. =	x $100. =
x $ 25. =	x $ 25. =	x $ 25. =
x $ 5. =	x $ 5. =	x $ 5. =
x $ 1. =	x $ 1. =	x $ 1. =
x $ .50 =	x $ .50 =	x $ .50 =
x	x	x
COIN	COIN	COIN
TOTAL $	**TOTAL $**	**TOTAL $**

AGC 1090 (Rev Jul 91) **Original - To Gaming Control Branch** **PAGE TOTAL $** _____

PIT SUPERVISOR'S GAMES REPORT (AG1087)

Prepared by Pit Supervisor to maintain a record, with running balance, of all opener, fill, and credit transactions at each game.
An activity monitor for Pit Supervisor.

Instructions:

a. Pit Supervisor completes heading information, and using one section for each game in pit, enters:
   - game and number,
   - total value of opening fill under *Running Balance* alongside *Game Opener*, and
   - time game opened.

b. During shift, all chip transfers (*fills/credits*) between games and Banker are recorded by Pit Supervisor as specified on the form. Pit Supervisor adjusts the running balance and has Chip Runner initial.

A PIT SUPERVISOR'S GAMES REPORT

GAMING CONTROL BRANCH

NAME OF ORGANIZATION: DATE:

PIT NO.:

GAME AND NO. _____

			RUNNING BALANCE	**TIME**
		GAME OPENER $		
REQUEST NO. & TIME ORDERED	FILL	CREDIT		TIME COMPLETED CHIP RUNNER INITIAL

GAME AND NO. _____

			RUNNING BALANCE	**TIME**
		GAME OPENER $		
FILL/CREDIT NO. & TIME ORDERED	FILL	CREDIT		TIME COMPLETED CHIP RUNNER INITIAL

GAME AND NO. _____

			RUNNING BALANCE	**TIME**
		GAME OPENER $		
FILL/CREDIT NO. & TIME ORDERED	FILL	CREDIT		TIME COMPLETED CHIP RUNNER INITIAL

GAME AND NO. _____

			RUNNING BALANCE	**TIME**
		GAME OPENER $		
FILL/CREDIT NO. & TIME ORDERED	FILL	CREDIT		TIME COMPLETED CHIP RUNNER INITIAL

GAME AND NO. _____

			RUNNING BALANCE	**TIME**
		GAME OPENER $		
FILL/CREDIT NO. & TIME ORDERED	FILL	CREDIT		TIME COMPLETED CHIP RUNNER INITIAL

GAME AND NO. _____

			RUNNING BALANCE	**TIME**
		GAME OPENER $		
FILL/CREDIT NO. & TIME ORDERED	FILL	CREDIT		TIME COMPLETED CHIP RUNNER INITIAL

AGC1087 (Rev. 5/91)

AGLC
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CHARITY: _____
CASINO: _____
DATE: _____

SECTION 1 DAILY POKER RAKE SUMMARY - OPTION 3 (FLEXIBLE HOURS - SEPARATE CHIP INVENTORY)

CHIPS		RAKE	
Closing Chip Inventory	$	Poker T.T.L.	$
Minus Opening Chip Inventory	$	Minus Poker Drop	$
Chips Shortage/Overage	$	Rake Over/Short	$
		Poker Rake	$ (1.1)

	Hours		Basic Fee	Additional Fee*	Maximum Table Fee
Table 1	From ____	To ____	$1,400 +	____	= ____
Table 2	From ____	To ____	$1,400 +	____	= ____
Table 3	From ____	To ____	$1,400 +	____	= ____
Table 4	From ____	To ____	$1,400 +	____	= ____
Table 5	From ____	To ____	$1,400 +	____	= ____
Table 6	From ____	To ____	$1,400 +	____	= ____
Table 7	From ____	To ____	$1,400 +	____	= ____
Table 8	From ____	To ____	$1,400 +	____	= ____
Table 9	From ____	To ____	$1,400 +	____	= ____
Table 10	From ____	To ____	$1,400 +	____	= ____
Table 11	From ____	To ____	$1,400 +	____	= ____
Table 12	From ____	To ____	$1,400 +	____	= ____

MAXIMUM ALLOWABLE: (1.2) _____

*Additional Fee ($100/table/hour) for hours outside of 12 noon through 2:00 a.m.
NOTE: Maximum table fee is $2,000/table/day.

SECTION 2 TOURNAMENT REVENUE

Entry Fee:	No. of Players ____	X	Entry Fee ____	=	$	
Re-Buys:	No. of Re-Buys ____	X	Re-Buy Fee ____	=	$	
Add-Ons:	No. of Add-Ons ____	X	Add-On Fee ____	=	$	
Cumulative Fee:					$ (2.1)	
Maximum Allowable:	No. of Tables ____	X	$3,250/Table	=	$ (2.2)	

SPLIT:
Operator - 90% of the lesser of (2.1) or (2.2) (2.3) _____
Minus Payouts to Winning Player(s) (2.4) _____
Net Operator's Split _____ = $ (2.5) _____
Charity - 10% of the lesser of (2.1) or (2.2), plus 100% of fees in excess of (2.2) (2.6) _____
Money left for deposit [(2.5) plus (2.6)] (2.7) _____

SECTION 3 OPERATOR PORTION

Poker Rake (1.1) _____ x 75% (3.1) _____
Maximum Allowable (1.2) _____
Daily Operator Portion from Poker *[lessor of (3.1) or (1.2)]* (3.2) _____
Plus Tournament Revenue *[(2.5) above]* _____
TOTAL OPERATOR PORTION (3.3) _____

SECTION 4 CHARITY POOL PORTION

Daily Charity Portion From Poker Poker Rake (1.1) _____ minus Operator Portion (3.2) _____ = (4.1) _____
Plus Tournament Revenue *[(2.6) above]* _____
TOTAL CHARITY PORTION: (4.2) _____

_____
Signature of Authorized Casino Facility Licensee Representative

COPIES: 1 - Casino Facility Licensee 2 - Trustee 3 - AGLC (to be faxed upon completion of event)

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FINANCIAL CONTROL FORM
MANUAL PROGRESSIVE JACKPOTS

TYPE OF GAME _____

DATE/TIME	DAILY AMOUNT	RUNNING BALANCE	REGISTERED GAMING WORKER #1 REG. # & SIGNATURE	REGISTERED GAMING WORKER #2 REG. # & SIGNATURE	GAMES MANAGER REG. # & SIGNATURE

FORM MUST BE KEPT IN POKER PIT FOR INSPECTION ON REQUEST
WHEN JACKPOT IS WON – CASINO FACILITY LICENSEE MUST KEEP FORM AS PERMANENT RECORD

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PAYOUT FORM
MANUAL PROGRESSIVE JACKPOTS

TYPE OF GAME _____

TIME _____DATE_____

NUMBER OF PARTICIPANTS _____ NUMBER OF NON-PARTICIPANTS _____

DEALER'S NAME:_____

LAST RUNNING BALANCE $_____

TOTAL CONTRIBUTIONS TO WINNING $_____

TOTAL PROGRESSIVE POKER JACKPOT $_____

PARTICIPANTS:

AMOUNT WON	NAME	SIGNATURE	CONTACT INFORMATION

NON-PARTICIPANTS:

AMOUNT WON	NAME	SIGNATURE	CONTACT INFORMATION

GAMES MANAGER NAME AND REGISTRATION #_____

GAMES MANAGER SIGNATURE_____

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NON-PARTICIPANT FORM
MANUAL PROGRESSIVE JACKPOTS

JACKPOT NAME _____

DATE COMMENCED _____

DATE WON _____

I, the undersigned, do not wish to participate in this progressive jackpot. I understand that no contributions will be taken from poker pots that I have won. I further understand that I am not entitled to any disbursements for this progressive jackpot.

DATE	NAME (PLEASE PRINT)	SIGNATURE

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WEEKLY CRAPS RECONCILIATION

FACILITY NAME: _____ DATE: From _____ To _____

Day	Date	No. of Tables	Opener	Fills	Credits	Closer	TTL	Drop	Win/Loss	Operator Portion 75%	Charity Portion 25%
Mon											
Tue											
Wed											
Thu											
Fri											
Sat											
Sun											
Weekly Total									(1.1)	(1.2)	(1.3)
Previous Week											
Accumulated Total											
Final Quarter Total											

This section to be completed only at the END of the quarter.

*CHEQUE TO CHARITY POOL $ _____ *Charity will receive 25% of Win/Loss, plus accumulated surplus at the end of the quarter (if any).*

*OPERATOR RETAINS $ _____ *Operator will receive 75% of Win/Loss to a maximum of $3,000/table/day.*
Deficit will be covered by surplus for the quarter (if any).
Deficit will not be covered by Charity Portion.

_____
Signature of Authorized Casino Facility Licensee

Copies: 1 - LICENSEE 2 - AGLC (to be faxed weekly) 3 - TRUSTEE (quarterly with cheque)

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WEEKLY CRAPS SUMMARY

FACILITY: _____

DATE: _____

WEEKLY CRAPS SUMMARY

Craps Deposit _____ Weekly Win/Loss (1.1) _____

Maximum Allowable: $3,000/table/day

SPLIT: Operator - lessor of 75% of (1.1) or $3,000/table/day — Operator Portion (1.2) _____

Charity - 25% of (1.1) — Charity Portion (1.3) _____

Surplus/Deficit - 75% of Win/Loss minus $3,000/table/day — Surplus or Deficit (1.4) _____

Accumulating Operator Portion		Accumulating Charity Portion		Accumulating Surplus/Deficit	
Weekly Split	(1.2)	Weekly Split	(1.3)	Weekly Split	(1.4)
Accumulated Portion 1.6 from Previous Week		Accumulated Portion 1.7 from Previous Week		Accumulated Portion 1.8 from Previous Week	
Accumulating Operator Portion	(1.6)	Accumulating Charity Portion	(1.7)	Accumulating Surplus/Deficit	(1.8)

**** Charity will receive 25% of Win/Loss, plus accumulated surplus for the quarter (if any).***
Operator will receive 75% of Win/Loss to a maximum of $3,000/table/day.
Deficit will be covered by surplus for the quarter (if any).
Deficit will not be covered by Charity Portion.

This Section to be completed only at the END of the quarter.

Number of days in quarter: (1.9) _____

Operator Maximum *[1.9 x $3,000 x _____ tables/day]* (1.10) _____

Operator Portion *[from 1.6 above]* (1.6) _____

Surplus/Deficit *[1.6 - 1.10]* (1.11) _____

Charity Entitlement: 1.7 plus 1.8 if positive; otherwise 1.7 _____

Operator Entitlement: Total Win/Loss for the Quarter minus Charity Entitlement (1.12) _____

_____
Signature of Authorized Casino Facility Licensee Representative

COPIES: 1 - Casino Facility 2 - AGLC (to be faxed weekly with Craps Reconciliation)

FACILITY CHIP INVENTORY CONTROL FORM

Prepared by Banker and Advisor at the Opening and Closing of the casino event.

One copy of form kept by the licenced charity, one copy is for the supplier and one copy is returned to the Commission Licensing Division.

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FACILITY CHIP INVENTORY CONTROL FORM

Organization: _____ Date: _____

	OPENER		CLOSER	
	CHIP COUNT	VALUE	CHIP COUNT	VALUE
F 100.00 B				
F 25.00 B				
F 5.00 B				
F 1.00 B				
F 0.50 B				
F TOTAL B				
SHORT				
OVER				

NOTE: A chip shortage means that players have not turned in chips that they have paid for. Attach a cheque to this form.

If there is a chip overage, the supplier will issue the licenced charity a refund cheque within 10 days.

Advisor _____ **General Manager** _____

Drop _____ **%** _____ **Win** _____ **or Banker** _____

Drop _____ **%** _____ **Win** _____

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DISCREPANCY REPORT

Website: aglc.ca

CHECK ONE: ☐ BINGO ☐ CASINO

NAME OF ORGANIZATION	LICENCE NO.
FACILITY WHERE EVENT HELD	DATE

TIME _____

DETAILS _____

ACTION (if any) _____

(USE ADDITIONAL PAGES IF NECESSARY)

NORTH OF RED DEER TO: Alberta Gaming, Liquor and Cannabis Commission
Regulatory Services
50 Corriveau Avenue
St. Albert, Alberta T8N 3T5
Telephone: 780-447-8600
Fax: 780-447-8912

RED DEER AND SOUTH TO: Alberta Gaming, Liquor and Cannabis Commission
Regulatory Services
#110, 6715 - 8th Street NE
Calgary, Alberta T2E 7H7
Telephone: 403-292-7300
Fax: 403-292-7302

_____
NAME AND TITLE OF PERSON REPORTING (PLEASE PRINT)

_____
SIGNATURE OF PERSON REPORTING

WHITE - AGLC CANARY - LICENSEE (IF APPLICABLE) PINK (PERSON REPORTING)

CONFIDENTIAL WHEN COMPLETED

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DISCREPANCY REPORT

CHECK ONE: ☐ CASINO/REC ☐ VLT ☐ BINGO ☐ OTHER

DATE:	TIME:	FACILITY NAME:	
RETAILER/LICENCE #:		TERMINAL/UNIT #:	
GAME DESCRIPTION:			DENOMINATION:

1. Credit/Dollar Amount in the terminal at the time of the incident: $	6. Has the terminal been disabled or powered off? ☐ DISABLED ☐ POWERED OFF
2. Was the amount witnessed by facility staff? ☐ YES ☐ NO If YES, attach their statement(s)	7. AGLC Hotline Ticket number:
3. Amount wagered at the time of the incident: $	8. Time Hotline contacted: ☐ AM ☐ PM
4. Credit/Dollar Amount cashed out (if applicable): $	9. Camera coverage of the terminal incident? ☐ YES ☐ NO If YES, retain for AGLC. If NO, why?
5. Has the customer received a payout? ☐ YES $ ☐ NO	

CUSTOMER NAME:	PHONE NUMBER:	ADDRESS:
COMPLAINT:		
*Use additional pages if necessary		

ACTION TAKEN (IF ANY):
*Use additional pages if necessary

NORTH OF RED DEER TO:
Alberta Gaming, Liquor and Cannabis Commission
Regulatory Services
50 Corriveau Avenue
St. Albert, AB T8N 3T5
Telephone: 780-447-8600
Fax: 780-447-8912

RED DEER AND SOUTH TO:
Alberta Gaming, Liquor and Cannabis Commission
Regulatory Services
110, 6715 – 8 Street NE
Calgary, AB T2E 7H7
Telephone: 403-292-7300
Fax: 403-292-7302

NAME AND POSITION OF PERSON REPORTING
(PLEASE PRINT)

SIGNATURE OF PERSON REPORTING

WHITE – AGLC CANARY – LICENSEE (IF APPLICABLE) PINK – (PERSON REPORTING)

CONFIDENTIAL WHEN COMPLETED

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ELECTRONIC GAMES - CASINO RETAILER APPLICATION

☐ **NEW INSTALLATION** ☐ **CHANGE OF OPERATOR**

I. PREMISES

LOCATION NAME: _____

STREET ADDRESS OF LOCATION: _____

MAILING ADDRESS (IF DIFFERENT): _____

IF RURAL LOCATION PLEASE SUPPLY LEGAL DESCRIPTION: _____

CITY: _____ PROVINCE: _____ POSTAL CODE: _____

PHONE: _____ FAX: _____

II. BUSINESS ENTITY OPERATING THE PREMISES

☐ SOLE PROPRIETORSHIP ☐ PARTNERSHIP ☐ CORPORATION ☐ PUBLICLY TRADED CORPORATION

☐ NON-PROFIT/OTHER (SPECIFY): _____

BUSINESS ENTITY NAME: _____

ADDRESS: _____

MAILING ADDRESS (IF DIFFERENT): _____

CITY: _____ PROVINCE: _____ POSTAL CODE: _____

PHONE: _____ FAX: _____

III. DIRECTORS/SHAREHOLDERS/SIGNING AUTHORITIES

LIST DIRECTORS/SHAREHOLDERS WHO HAVE A DIRECT OR INDIRECT INTEREST AND INDICATE THEIR % OF OWNERSHIP. IF THE BUSINESS ENTITY IS PUBLICLY TRADED, ONLY LIST DIRECTORS/SHAREHOLDERS WHO OWN 15% OR MORE OF THE COMPANY SHARES. SPECIFY WHO MUST SIGN WHEN TWO OR MORE SIGNATURES ARE REQUIRED.

	NAME	HOME #	CELL #	SIGN AUTH Y/N
1.				
2.				
3.				
4.				

*If space is insufficient, please continue on a separate page.

IV. ON SITE CONTACTS (Day/Night Managers)

	NAME	TITLE
1.		
2.		
3.		
4.		

*If space is insufficient, please continue on a separate page.

PLEASE COMPLETE INFORMATION ON REVERSE SIDE

The applicant authorizes the Alberta Gaming, Liquor and Cannabis Commission to obtain credit or general information reports about the applicant or any partner, officer or shareholder of the applicant which may assist the Alberta Gaming, Liquor and Cannabis Commission. Misrepresentation or failure to reveal information may be deemed cause for refusal or revocation of an agreement and/or possible criminal prosecution. The application and issuing of a retailer agreement is subject to Alberta Gaming, Liquor and Cannabis Commission approval. Non-approval voids the application.

Date: _____ Signature: _____

Name: _____
(please print)

The information you are providing on this application form is collected under the authority of the *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation, and the *Freedom of Information and Protection of Privacy (FOIP) Act*, section 33(c). This information is strictly for the use of the Alberta Gaming, Liquor and Cannabis Commission in assessing your eligibility. Your personal information is protected by Alberta's FOIP Act and can be reviewed upon request. If you have any questions about the collection or use of the information, please contact:

Alberta Gaming, Liquor and Cannabis Commission
50 Corriveau Avenue
St. Albert, Alberta
T8N 3T5
Telephone: 780-447-8600 or Toll-free: 1-800-272-8876

For Office Use Only
Retailer Number:

ELECTRONIC GAMES - CASINO/REC CERTIFICATE OF INSURANCE

(Only this Certificate will be accepted)

NAME AND ADDRESS OF INSURED: _____

_____

NAME AND ADDRESS OF PREMISES TO BE INSURED: _____

_____

NAME AND ADDRESS OF AGENT/BROKER: _____

_____

SCHEDULE OF COVERAGE	INSURANCE COMPANY	POLICY NUMBER	EFFECTIVE DATE MM/DD/YY	EXPIRY DATE MM/DD/YY
A. General Liability				
B. Property Insurance				

PARTICULARS OF COVERAGE – <u>COMPLETE EACH CATEGORY AS COVERAGE APPLIES</u> (details on back page)

A. GENERAL LIABILITY - General liability coverage is **<u>mandatory</u>** for Casino Retailers and Racing Entertainment Centre (REC) Retailers.

<u>Limits of Liability</u>

$_____ Inclusive Limits

B. PROPERTY INSURANCE - The following coverage features are **<u>mandatory</u>** for all Retailers.

Limit of insurance exclusive for Alberta Gaming, Liquor & Cannabis (AGLC) Supplied Equipment $_____

Please check to confirm coverage:

☐ All Risk/Broad Form Coverage ☐ Replacement Cost

☐ The Alberta Gaming, Liquor and Cannabis Commission is Loss Payable on all Supplied Equipment provided by AGLC.

☐ The Alberta Gaming, Liquor and Cannabis Commission is Additional Named Insured on all Supplied Equipment provided by AGLC.

The undersigned hereby represents to the Alberta Gaming, Liquor and Cannabis Commission that the above policies are accurately described and have been issued to the Named Insured. The undersigned further represents that these policies are endorsed to provide 30 days advance written notice of cancellation or material change restricting coverage to:

AGLC, 50 Corriveau Avenue, St. Albert AB T8N 3T5

This certificate is executed and signed by the insurer, or authorized Agent/Broker:

_____ _____

SIGNATURE OF AUTHORIZED REPRESENTATIVE INSURANCE COMPANY OR AGENT/BROKER

_____ _____

PRINTED NAME OF AUTHORIZED REPRESENTATIVE TELEPHONE DATE

_____

FAX

REQUIREMENTS

General Liability

- Commercial General Liability – not less than $2,000,000 inclusive per occurrence against bodily injury and property damage including loss of use thereof. Such insurance shall include blanket contractual liability, personal injury, and employees as additional insured.

Property Insurance

- Property Insurance is required for all Supplied Equipment provided by AGLC. Coverage shall be on an All Risk/Broad Form and Replacement Cost basis, and the Alberta Gaming, Liquor and Cannabis Commission shall be added as a Loss Payable and Additional Named Insured.

All required insurance will be endorsed to provide AGLC with 30 days advance written notice of cancellation or material change.

VIDEO LOTTERY REQUIREMENTS

Breakdown of Property:

- $25,000 per vlt
- $2,500 i-LINK™
- AGLC Communication Hardware
  - $1,200 (1 – 6 vlts)
  - $2,400 (7 – 10 vlts)
  - $3,600 (15 – 18 vlts)
  - $4,800 (19 – 24 vlts)
  - $6,000 (25 – 49 vlts)
- $2,000 Telus Communication Equipment
- $800 Cabling

SLOT REQUIREMENTS

- $28,000 per slot
- $42,000 per TRK
- $2,500 Money Handling Equipment
- $850 Keys
- Communication Equipment varies per Casino
- Signs and Fixtures varies per Casino

LOTTERY TICKET REQUIREMENTS

- $10,000 for ticket terminal and related equipment

KENO REQUIREMENTS

- $10,000 for ticket terminal and related equipment
- $900 per TV
- $395 for TVCU (controller)
  (Note: If a ticket terminal already exists, $395 plus $900 per TV additional insurance is required for KENO)

Use of Information

The information you provide on this form is collected under the authority of the *Gaming, Liquor and Cannabis Act*; Gaming, Liquor and Cannabis Regulation; and Section 33(c) of the *Freedom of Information and Protection of Privacy (FOIP) Act*. The information is strictly for the use of the Alberta Gaming, Liquor and Cannabis Commission in assessing eligibility. Your personal information is protected by Alberta's FOIP Act and can be reviewed upon request. If you have any questions about the collection or use of the information, please contact:

Alberta Gaming, Liquor & Cannabis (AGLC)
50 Corriveau Avenue
St. Albert, AB T8N 3T5
Telephone: 780-447-8600 Toll-free: 1-800-272-8876
Fax: 780-447-8910

AGLC
Choices Albertans can trust.

50 Corriveau Avenue
St. Albert, Alberta
T8N 3T5

Telephone 780-447-8600
Fax 780-447-8910
aglc.ca

PRE-AUTHORIZED DEBIT (PAD) AGREEMENT FOR BUSINESS (ELECTRONIC GAMES - CASINO RETAILER)

1. Retailer Information

Retailer's Corporate Name

Retailer Doing Business As

Retailer Number

2. Retailer Bank Account Information*

Financial Institution Name (the "Bank")

Branch Name

Branch Address

City, Province, Postal Code

**This information can be obtained from your bank branch.*

Bank Number		

Transit Number				

Account Number											

Attach a sample cheque for this account marked "Void".

3. Pre-Authorized Debit (PAD) Agreement

In consideration for Alberta Gaming, Liquor and Cannabis Commission (AGLC) entering into a retailer agreement with the Retailer, the Retailer hereby authorizes AGLC to debit the account identified above for the **invoiced variable amount** owed to AGLC by the Retailer under such retailer agreement. Each debit by the Bank shall be the same as if the undersigned had personally issued a cheque (or order) in favor of AGLC. Any delivery of this Authorization to the Bank constitutes delivery by the Retailer. The Retailer agrees to give advance written notice to AGLC of any change with respect to the account against which Pre-Authorized Payments are to be drawn.

This agreement and the Authorization shall remain in full effect until it is revoked or until such time as there is no retailer agreement in force with AGLC or until AGLC no longer employs this arrangement, for whatever reason, for receipt of payments from the Retailer. This agreement applies only to the method of payment between the Retailer and AGLC. This agreement does not affect the retailer agreement or any other contract respecting goods or services between the Retailer and AGLC. The Retailer may revoke its authorization at any time for this payment method, subject to providing notice of 30 days to AGLC.

The Retailer has certain recourse rights if any debit does not comply with this Agreement. For example, the Retailer has the right to receive reimbursement for any debit that is not authorized or is not consistent with this PAD Agreement. To obtain more information on recourse rights, a sample cancellation form, or further information on right to cancel a PAD Agreement, contact any financial institution or visit www.cdnpay.ca.

The undersigned Retailer hereby agrees to waive the 10 day pre-notification requirement as set out in the Canadian Payment Association - Rule H1. This authority is to remain in full effect until such time as the Electronic Games - Casino Retailer Agreement is terminated by AGLC, or the Retailer requests termination in writing of the Electronic Games - Casino Retailer Agreement, or until AGLC no longer employs this arrangement, for whatever reason, for receipt of payments from the Retailer.

Dated this _____ day of _____, 20___ Effective date:_____

Retailer:_____

Per:_____ Name/Title:_____
Sign Name Print Name and Title

Per:_____ Name/Title:_____
Sign Name Print Name and Title

Bank verification of Bank Account Signatory/ies is required

ELECTRONIC GAMES - CASINO RETAILER AGREEMENT

PARTIES TO THE AGREEMENT:

ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION, (the "AGLC")

and

_____ (the "Casino Retailer")

Preamble:

- Pursuant to Section 207 of the *Criminal Code* R.S.C. 1985, c.C-46, it is lawful for the Province of Alberta to conduct and manage lottery schemes;
- Pursuant to the provisions of the *Gaming, Liquor and Cannabis Act* (Alberta), the AGLC has been authorized to conduct and manage provincial lotteries, which includes Electronic Games on Gaming Terminals, in the Province of Alberta; and
- The AGLC intends to install Gaming Terminals and conduct and manage Electronic Games within the Casino Retailer's Premises.

THE PARTIES agree as follows:

1. **Distribution:** Subject to the terms and conditions contained in this Agreement, the AGLC has agreed to install one or more Gaming Terminals, together with certain related Fixtures and signs within or about the Casino Retailer's business Premises described in the Casino Retailer Information Schedule A.

2. **Schedules:** The following schedules, as they may be amended from time to time, form part of and are incorporated as integral parts of this Agreement and any obligations or rights set out in such schedules form part of the Agreement as if they were fully set out in the main body of this Agreement:

Label	***Schedule:***	***Version of Schedule Applicable at Signing****
A	Casino Retailer Information	A01
B	Casino Retailer Obligations	B01
C	General Terms	C01
D	Termination & Liability	D01

**Note: Copies of the current applicable version of each of these schedules can be obtained by contacting the AGLC.*

3. **Casino Retailer Obligations:** The Casino Retailer agrees to perform the promises and covenants set out in the Casino Retailer Obligations, Schedule B.

4. **The AGLC's Obligations:** In consideration of all the services to be performed by the Casino Retailer under this Agreement, the AGLC agrees that it will:
   (a) provide Gaming Terminals for installation in the Premises. The number and type of Gaming Terminals provided by the AGLC will be in accordance with policies established by the AGLC from time to time. In the event of changes in policy regarding the allocation or placement of Gaming Terminals, the AGLC may adjust the number or type of Gaming Terminals provided to the Premises;
   (b) pay for the initial installation of internal data lines and Gaming Terminals;
   (c) pay for rental charges of data communications services required for the operation of the Gaming Terminals;
   (d) provide and install Supplied Equipment and provide point of sale material and such other promotional materials as the AGLC may from time to time determine to be appropriate; and
   (e) provide supplies which the AGLC deems necessary for the Casino Retailer's performance of this Agreement.

5. **Ownership of Supplied Equipment:** The Casino Retailer agrees that the Supplied Equipment and anything provided by the AGLC is the sole property of the AGLC and may be suspended or removed by the AGLC at any time. The Casino Retailer is a bailee only of the Supplied Equipment and has no property interest in it.

6. **Prevailing Facts and Records:** In the event of any inconsistency between any records generated by the Casino Retailer, by the Gaming Terminals or by the Central Computer System, the final record will in each case be determined by the information and records generated by the Central Computer System and the Casino Retailer will be bound thereby and account to the AGLC on the basis of information generated by the Central Computer System.

7. **Amendment of Agreement by the AGLC:** The parties agree that the AGLC has the right, in its discretion and at any time, to unilaterally amend, revise or supplement the terms of this Agreement (including but not limited to replacement of any Schedule to this Agreement) provided that:
   (a) no such amendment, revision or supplementation will take effect under the Agreement as against the Casino Retailer until the latter of:
      (i) seven (7) days after notice of such amendment, revision or supplementation has been given to the Casino Retailer; or
      (ii) the date specified in such notice on which the amendment will take effect.

(b) for greater certainty, if the Casino Retailer has not served notice of termination of the Agreement, any use by the Casino Retailer of the Supplied Equipment at any time after the latter date determined under Section 7(a) shall conclusively be deemed to be agreement to and acceptance of the said amendment, revision or supplementation by the Casino Retailer.

NOTWITHSTANDING THE DATE OF EXECUTION, the parties have made this Agreement effective _____
Date

ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION

Per: _____

Name: Insert Name
Insert Title

CASINO RETAILER

_____
CASINO RETAILER

_____ Per: _____
Witness Signature Casino Retailer Signature

Print Name: _____ Name: _____

_____
Head Office Address of Casino Retailer

Electronic Games - Casino Retailer Agreement
Casino Retailer Information Schedule "A" (Version Number: A01)

Effective Date of Schedule: (Date)

This schedule sets out the particulars of the Casino Retailer's Premises for the Agreement and is incorporated by reference into the Electronic Games - Casino Retailer Agreement with **<insert retailer name>**. This schedule may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

CASINO RETAILER INFORMATION:
Address for Service of Casino Retailer under Agreement:

Mailing Address: _____

Phone Number: _____

Facsimile Number: _____

Email Address: _____

Signatory: _____

Note: Information for the Casino Retailer or the Premises may be changed by giving notice of the change to AGLC under section C9.

Retailer Number:		**Civic Address:**	
Premises Name:			

Electronic Games - Casino Retailer Agreement
Casino Retailer Obligations Schedule "B" (Version Number: B01)

Effective Date of Schedule: (Date)

This schedule sets out particular Casino Retailer obligations for the Agreement and may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

The Casino Retailer promises and agrees:

B1. **Access to Premises:** to allow the AGLC and any person, firm or corporation acting on its behalf, access to the Premises for the purposes of installing or repairing Supplied Equipment, the purposes of investigating any public complaints, criminal or otherwise, and for the purposes of ensuring compliance of the Casino Retailer with this Agreement and the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines as Prescribed by the AGLC.

B2. **Advertising & Notices:** to install, post and display prominently at such location(s) within or about the Premises signs or promotional material as may be required by the AGLC such as rules of play, point of sale, redemption and other promotional material relating to Gaming Terminals as may from time to time be designated or provided by the AGLC, and to use no signs or promotional material relating to Gaming Terminals which are not provided or approved by the AGLC.

B3. **Availability:** to have trained staff available for payment of winnings to Players during all hours and days of licenced gaming.

B4. **Banking & Proceeds:** to make deposits of all monies received from Electronic Games less winnings paid and remuneration as Prescribed in a bank account designated by the AGLC at the times designated by the AGLC. The AGLC reserves the right to request payment by certified cheque, payable to the AGLC, of any amount due from the Casino Retailer to the AGLC. The Casino Retailer acknowledges that all monies received from Electronic Games less winnings paid and remunerations as Prescribed are the property of the AGLC and that the Casino Retailer receives, holds and deals with the same as bare trustee for the AGLC.

B5. **Compliance:** to provide the services in this Agreement in accordance with terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines as Prescribed by the AGLC.

B6. **Consent:** to undergo and permit a complete security screening, including financial reliability, by the AGLC, or any other person, firm or agency performing a security screening service at the request of the AGLC.

B7. **Employee Training:** to attend or to appoint one or more employees acceptable to the AGLC who will attend such training sessions as the AGLC will from time to time require in order to ensure that the Casino Retailer and their employees are properly trained in the operation of the Gaming Terminals and for the performance of such other services as the Casino Retailer is required to perform.

B8. **Exclusiveness:** to not, without the prior written consent of the AGLC, in any way promote any other gaming activity or engage in any activities in competition with the Electronic Games conducted and managed by the AGLC.

B9. **Facility Standards:** to meet the facility standards requirements as Prescribed in the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines provided by the AGLC.

B10. **Financial Security:** to obtain, if required by the AGLC and at the Casino Retailer's expense, financial security on such terms and in such amount as may be required by the AGLC, to cover the obligations of the Casino Retailer to the AGLC.

B11. **General Compliance:** to comply with the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC respecting Electronic Games, Gaming Terminals, casino facility licences, liquor licenses and the provisions of this Agreement.

B12. **Granting Credit:** not to offer loans, grant credit or provide advances on credit cards to enable a person to play Electronic Games.

B13. **Hold Harmless:** to hold harmless the AGLC from any and all third party claims, demands, or actions for which the Casino Retailer is legally responsible, including those arising out of negligence, wilful harm, or crimes by the Casino Retailer or the Casino Retailer's employees or agents. This hold harmless will survive this Agreement.

B14. **Hours of Operation:** to not change the hours during which the Premises are open for business without giving prior notice to the AGLC.

B15. **Indemnity:** to indemnify the AGLC from any and all costs as a result of a breach by the Casino Retailer of any provisions of this Agreement or of the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC.

B16. **Insurance**: that the Casino Retailer will, without limiting the obligations or liabilities under this Agreement and at the Casino Retailer's own expense, provide and maintain the following insurance in forms and amounts acceptable to the AGLC:

- (a) commercial general liability in an amount not less than $2,000,000 inclusive per occurrence against bodily injury and property damage including loss of use thereof. Such insurance shall include blanket contractual liability, personal injury, and employees as additional insured;
- (b) property insurance on all Supplied Equipment provided by the AGLC. Coverage will be on an All Risk/Broad Form and Replacement Cost basis;
- (c) the AGLC will be added as loss payable and additional named insured with respect to all Supplied Equipment provided by the AGLC;
- (d) all required insurance will be endorsed to provide the AGLC with 30 days advance written notice of cancellation or material change; and
- (e) the Casino Retailer will provide the AGLC with evidence of all required insurance in the form of a completed AGLC Certificate of Insurance.

B17. **Location:** to provide at the Premises, the location(s) approved by the AGLC for installation of any Supplied Equipment.

B18. **Maintenance:** to refill ticket stock, clear bill and ticket jams, clean screens and button panels as instructed by the AGLC in the day to day maintenance of the Gaming Terminal and to perform no other mechanical or electrical maintenance thereon unless directed to do so by the AGLC.

B19. **Manual Maintenance:** to maintain and make available to its employees, a copy of any Prescribed manuals as applicable.

B20. **Minors:** to not permit a person under the age of 18 years to play an Electronic Game and to maintain an age controlled (18+) environment for Gaming Terminals.

B21. **Movement of Supplied Equipment:** to not move the Supplied Equipment without the approval of the AGLC.

B22. **On-Site Security:** that the Casino Retailer will:

- (a) be responsible for the on-site security of any Supplied Equipment or other property of the AGLC on the Premises and, without limiting the generality of the foregoing, the Casino Retailer will not and will not permit a person to:
  - (i) remove a Gaming Terminal from the Premises or place a Gaming Terminal in the Premises without the prior written consent of the AGLC; or
  - (ii) manipulate or attempt to manipulate a Gaming Terminal in an effort to influence the outcome or payout of an Electronic Game; or
  - (iii) activate or attempt to activate a Gaming Terminal by fraudulent means.
- (b) immediately notify the AGLC of any suspicious activity or any activity which may be deemed to have a wrongful intent.

B23. **Payment of Winnings:** to ensure Players receive payment of winnings in accordance with policy and guidelines as Prescribed by the AGLC.

B24. **Physical Responsibility:** to be responsible for the physical security of and to exercise due diligence in the operation and care of the Supplied Equipment and to immediately notify the AGLC of any malfunction, loss, or damage to the Supplied Equipment.

B25. **Play of Gaming Terminals:** to permit play of Gaming Terminals only during the days/hours as Prescribed by the AGLC.

B26. **Promotional Events:** to not use any Gaming Terminal to conduct promotional events without the prior written approval of the AGLC.

B27. **Provision of Outside Cabling:** to provide, at the Casino Retailer's expense and in the area of the Casino Retailer's Premises selected by the AGLC, outside cabling to bring the required services from the street to the Premise's utility room as Prescribed by the AGLC. Except as otherwise provided herein, the AGLC will not be responsible for any costs whatsoever incurred by the Casino Retailer in connection with the installation and removal of outside cabling.

B28. **Provision of Electrical Services:** to provide, at the Casino Retailer's expense and in the area of the Casino Retailer's Premises selected by the AGLC, the dedicated electrical circuit(s) as Prescribed by the AGLC. Except as otherwise provided, the AGLC will not be responsible for any costs whatsoever incurred by the Casino Retailer in connection with the installation and removal of electrical wiring and outlets.

B29. **Records:** to maintain current and accurate records of all amounts of monies paid into any Gaming Terminal by Players, of all Credits paid to Players from any Gaming Terminal and of all withdrawals of monies removed from any Gaming Terminal in conformity with the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC. Such records shall be available and may be removed upon request from the Premises as so required by the AGLC for inspection and/or audit.

B30. **Reasonable Courtesy:** to provide reasonable courtesy to Players and at such standards as may be reasonably expected of a prudent business person.

B31. **Repairs & Losses:** to be responsible to the AGLC for the cost of repairing any Fixtures or signs destroyed, damaged, defaced, lost or stolen while on the Premises and in the care of the Casino Retailer and for the cost of any repair to the Gaming Terminals other than repair necessitated by normal wear and tear or by defect in the manufacturing or by defective maintenance service provided by the AGLC or by the AGLC's employees, agents or contractors.

B32. **Risk of Loss:** to bear the risk of loss and be responsible for lost, stolen and missing monies relating to the operations of the Gaming Terminals.

B33. **Safety:** to be responsible for and to ensure the personal safety of all representatives of the AGLC while they are located on the Casino Retailer's business Premises.

B34. **Sales Volume:** to maintain the projected or anticipated volume of sales and comply with the profitability guidelines and consumer demand criteria as Prescribed by the AGLC.

B35. **Staff:** as Prescribed by the AGLC, to prohibit casino personnel from playing Gaming Terminals where employed. Volunteer staff, charity workers and registered casino advisors are prohibited from playing Gaming Terminals for the duration of the casino event where they are working.

B36. **Status:** to acknowledge that the Casino Retailer is not an employee, agent, representative, joint venture or partner of the AGLC and will not represent or hold himself out to be other than an independent contractor pursuant to this Agreement.

B37. **Utilities:** to be responsible for the payment of all utility charges in connection with the operation of Supplied Equipment.

Electronic Games - Casino Retailer Agreement
General Terms Schedule "C" (Version Number: C01)

Effective Date of Schedule: (Date)

This schedule sets out general terms for the Agreement and may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

C1. **Assignment:** this Agreement may be assigned by the AGLC. Any assignment or attempted assignment by the Casino Retailer of this Agreement without the prior written consent of the AGLC renders this Agreement null and void.

C2. **Definitions:** In the Agreement:

(a) **"Agreement"** Means this Electronic Games - Casino Retailer Agreement and includes any schedules as amended from time to time.

(b) **"Central Computer System"** Means the computer(s) to which all AGLC Gaming Terminals are connected and which records all data relating to the operation of each of the Gaming Terminals so connected.

(c) **"Credits"** Means the amount of money determined by a Gaming Terminal to be payable to a Player as a result of the Player's operation of the Gaming Terminal.

(d) **"Electronic Game"** Means a lottery scheme played on a Gaming Terminal in which, upon payment of lawful currency, a person by chance may receive credit(s) that can be redeemed for further play or money.

(e) **"Fixtures"** Means auxiliary equipment and supplies required for the operation of the Gaming Terminals, including but not limited to the clerk validation terminal, i-LINK™ (Video Lottery site controller) if applicable, Ticket Redemption Kiosks, Validation PCs, Audit PCs, Security PCs, additional system hardware (ticketing, digital signage and gaming terminal support), stools, money handling equipment, printer, communications equipment and cabling.

(f) **"Gaming Terminal"** Means a computer, video device or machine that is used, or could be used, to play a lottery scheme as defined in the Criminal Code (Canada) where, on insertion of money or a token or on payment of any consideration a person may receive or be entitled to receive money, either directly from the computer, video device or machine or in another manner.

(g) "**Last Known Address"** Means the last postal address, the last facsimile number or the last email address provided by the Casino Retailer to the AGLC in Schedule A or by subsequent notice under section C9.

(h) **"Player"** Means a person 18 years or older who has paid lawful currency in exchange for the privilege to play a Gaming Terminal;

(i) **"Premises"** Means the Casino Retailer's Premises described in Schedule A for operation of the Supplied Equipment.

(j) **"Prescribed"** Means as adopted in writing from time to time by the AGLC;

(k) **"Supplied Equipment"** Means the Gaming Terminals, signs (includes video signage as well as terminal and non-terminal signage) and Fixtures which may be provided by the AGLC.

C3. **Entire Agreement:** this Agreement constitutes the entire Agreement between the Casino Retailer and the AGLC and supersedes all prior Agreements, oral or written, among the parties and can only be modified or amended as set out in paragraph 7 of this Agreement; saving and excepting that terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC as Prescribed by the AGLC to the Casino Retailer will be binding upon the Casino Retailer to the same extent as if incorporated into and forming part of this Agreement.

C4. **Gender/Number:** the masculine gender where used will include the feminine or neuter or vice versa and the singular will include the plural where the context requires.

C5. **Intellectual Property:** the Casino Retailer agrees that the AGLC and its respective licensors, if any, own all intellectual property rights including all patents, trademarks, copyrights and industrial designs in all of the Supplied Equipment.

C6. **Interruption of Postal Service:** except during periods of a postal strike or of a general interruption of postal services any notice given by registered mail will be deemed to have been received on the second business day following posting of the same. In the case of service by facsimile transmission a notice will be deemed to have been received on the next business day following the day of sending. In the case of service by email a notice will be deemed to have been received on the next business day following the day of sending.

C7. **Law:** this Agreement will be construed and enforced in accordance with, and the rights of the parties shall be governed by, the laws of the Province of Alberta.

C8 **Remuneration:** The Casino Retailer is not entitled to other remuneration with respect to services supplied pursuant to this Agreement except such amounts by way of commission based on a percentage from time to time established by the AGLC.

C9. **Service of Notice on the AGLC:** any notice permitted or required to be given by the Casino Retailer to the AGLC in relation to this Agreement may be provided by any reasonable means, such as courier, fax, registered mail, ordinary mail, e-mail as prescribed or personal delivery to the head office of the AGLC located at 50 Corriveau Ave, St. Albert, Alberta, T8N 3T5, Fax: 780-447-8910.

C10. **Service of Notice on Casino Retailer:** Any notice permitted or required to be given by the AGLC to the Casino Retailer in relation to this Agreement may be given to the Casino Retailer at its Last Known Address and may be provided by any reasonable means, such as courier, fax, registered mail, ordinary mail, e-mail or personal delivery to the Casino Retailer at the Premises.

C11. **Severance:** if any covenant or term or the application to any person, or to any circumstances, to any extent is held invalid or unenforceable, the remainder of this Agreement or the application of the term, covenant or condition to any person or circumstances, other than those as to which it is held invalid or enforceable, will not be affected and each term, covenant and condition hereof will be valid and enforceable to the full extent permitted by law.

C12. **Waiver:** no waiver by the AGLC of the covenants, agreements or obligations of the Casino Retailer will be deemed to be a waiver of any subsequent breach of such, or any other, covenant, agreement or obligation under this Agreement, nor will any single or partial exercise of any right, power, or privilege hereunder preclude any other right, power or privilege.

Electronic Games - Casino Retailer Agreement
Termination & Liability Schedule "D" (Version Number: D01)

Effective Date of Schedule: (Date)

This schedule sets out the provisions addressing termination of and liability under the Agreement and may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

D1. **Duration of Agreement:** The Agreement continues until terminated in accordance with these provisions.

D2. **Termination by Casino Retailer:** The Casino Retailer may terminate the Agreement on seven (7) days' written notice to the AGLC.

D3. **Termination by the AGLC Without Cause:** The AGLC may terminate this Agreement without cause or reason on seven (7) days written notice to the Casino Retailer.

D4. **Termination by the AGLC with Cause:** The AGLC may terminate this Agreement without notice upon the happening of any of the following events:

(a) failure of the Casino Retailer to comply with the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC respecting Electronic Games, Gaming Terminals, casino facility licences, liquor licences, or the provisions of this Agreement;

(b) failure of the Casino Retailer to pay monies due to the AGLC pursuant to the terms of this Agreement;

(c) the Casino Retailer sells, reorganizes, fails to remain actively involved in, or changes the nature of the business conducted by the Casino Retailer or a significant portion thereof or interest therein;

(d) the Casino Retailer is a body corporate, other than a corporation the shares of which are publicly traded, if the principals of the corporation at the time of the signature of this Agreement fail to remain actively involved in the business or if voting control of the Casino Retailer changes;

(e) the Casino Retailer or any of its principals or senior employees are charged or convicted of a criminal or federal offence;

(f) the bankruptcy or insolvency of the Casino Retailer or if a receiver or liquidator is appointed over some or all of the assets of the Casino Retailer or in the event any of the assets of the Casino Retailer are seized or distrained upon;

(g) the Casino Retailer is no longer entitled to occupy the Premises in which the Supplied Equipment is located;

(h) the discovery by the AGLC of any misrepresentations made by the Casino Retailer on the application form or any other documents required to be submitted to the AGLC;

(i) the Casino Retailer or any employees or agents engaging in or permitting any activity in the Premises that is contrary to any municipal bylaw or any Act or regulation of Alberta or Canada or engaging in any activity that detracts from the integrity with which gaming activities are to be conducted in Alberta;

(j) the Casino Retailer or any employees or agents hindering, obstructing or impeding an AGLC Inspector in the performance of the Inspector's duties.

D5. **Election to Remove:** Upon the happening of any of the events under D4 above, the AGLC may, instead of terminating this Agreement, elect to remove one or more Gaming Terminals from the Premises.

D6. **Suspension:** The AGLC may, without terminating this Agreement, immediately suspend the Casino Retailer's ability to operate the Supplied Equipment where there has been a breach of this Agreement by the Casino Retailer, or where the AGLC anticipates there will be a breach of this Agreement by the Casino Retailer or for any reason.

D7. **Continuing Obligations of Casino Retailer:** Notwithstanding the termination of this Agreement for any reason, the Casino Retailer will be obligated to account to the AGLC and pay and deliver to the AGLC all monies and property of the AGLC. The provisions of this paragraph shall survive the termination of this Agreement and will remain enforceable until complied with by the Casino Retailer.

D8. **Limitation of Liability on the AGLC:** The Casino Retailer acknowledges that the AGLC shall not be liable to the Casino Retailer for any loss or injury resulting from:

(a) fire or other occurrence resulting from the installation, use or removal of the Supplied Equipment or any internal data lines or other facilities installed for the operation of the Supplied Equipment;

(b) failure or malfunction of the Supplied Equipment or any internal data lines or other facilities installed for the operation of the Supplied Equipment;

(c) reasonable defacement of the Premises necessarily associated with installation, repair or removal of the Supplied Equipment or any internal data lines or other facilities installed for the operation of the Supplied Equipment;

(d) interruptions or cessations of the operation of any Supplied Equipment on the Premises and any resulting loss of business to the Casino Retailer whether from any Gaming Terminal or otherwise, whether or not such loss or injury is as a result of the negligence or deliberate act of the AGLC, its servants or agents.

Alberta Progressive

Jackpot

RECEIPT

PLAYER Information

Player's Signature _____ Date _____

Player's Name (Print) _____ Player's Identification _____

CASINO/REC Information

Casino/REC Name (Print) _____ Casino/REC Phone Number _____

JA Number _____

Machine Number _____

Casino/REC Staff Signature _____ Casino/REC Slot Supervisor Signature _____

Casino/REC Staff Name (Print) _____ Casino/REC Slot Supervisor Name (Print) _____

PAYOUT Information

Please clearly indicate method of payment.

☐ **Cash** Amount $ _____

☐ **Cheque** Amount $ _____

Cheque # _____

☐ **Balance Paid by AGLC Cheque** Amount $ _____

Cheque # _____

AGLC
Choices Albertans can trust.

FORM GPS / 6593 (2012 - Sept)

TOP COPY - PLAYER BOTTOM COPY - CASINO

SECTION: 12. ENFORCEMENT OF LEGISLATION

12.1 INCIDENT REPORTS AND HEARINGS

12.1.1 Where an inspector has reasonable and probable grounds for believing that a violation of the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation or Board policy has occurred, the inspector has the authority to ask the licensee or registrant to correct the situation.

12.1.2 Reports of alleged violation(s) or potential problems received from the police, fire health, other government agencies or the general public regarding a licensed facility must be investigated and may result in an Incident Report.

12.1.3 An inspector will prepare an Incident Report setting out the details of an alleged violation(s) and all Incidents Reports must be dated when the investigation is finalized.

12.1.4 An Incident Report setting out the circumstances of an alleged violation will be submitted to the Vice President, Regulatory Services Division. A copy must be given to the facility licensee, licensed charity and/or registrant within 10 working days of the Incident Report being completed.

12.1.5 The Vice President may refer an Incident Report to the Board for review and decision where circumstances warrant.

12.1.6 The Board shall decide whether to hold a hearing based on the Incident Report (see AGLC's "Board Hearing Panel Rules and Procedures" at aglc.ca).

12.1.7 The interpretation and enforcement of these policies are the responsibility of AGLC. Failure to comply with these policies may result in sanctions by the Board. Sanctions include, but are not limited to: *(Moved from Sections 1.15/1.16 Apr 2020)*

a) warnings;

b) the requirement that the casino facility licensee cease activities related to the violation;

c) the requirement that all further activities related to the violation be submitted in advance to AGLC for approval;

d) suspension of privileges related to the violation for specified periods; or

e) any other sanctions determined by the Board.

SECTION: 12. ENFORCEMENT OF LEGISLATION

The following CTCOG sections have been deleted *(Nov 2019)*:

Section 12.2 Discipline without a Hearing;

Section 12.3 Waiver of Board Hearing Witnesses;

Section 12.4 Consent to Proposed Board Decision; and

Section 12.5 Administration Sanctions.

For information regarding these matters see AGLC's "Board Hearing Panel Rules and Procedures" at aglc.ca.

SECTION: 13. ELECTRONIC GAMING

13.1 GENERAL

13.1.1 The authority to conduct and manage provincial lotteries, which includes electronic games on gaming terminals, is contained in the *Criminal Code* (Canada) and the *Gaming, Liquor and Cannabis Act* (Alberta). *(Amended Jan 2015)*

13.1.2 Gaming terminals, including slot machines and VLTs, are installed in a licensed casino facility subject to the terms and conditions of the Electronic Games – Casino Retailer Agreement between the casino facility licensee (casino retailer) and AGLC. A sample of the Electronic Games – Casino Retailer Agreement is located in Section 11. *(Amended Jan 2015)*

13.1.3 AGLC installs the following types of gaming terminals within a licensed casino facility for the purpose of conducting and managing electronic games: *(Added Jan 2015)*

a) slot machines, including electronic table games (see Section 16); and

b) video lottery terminals (VLTs) (see Section 17).

13.1.4 Space and services provided for the operation of gaming terminals is the sole responsibility of the casino facility licensee and does not involve the charity licensee volunteers. The slot manager is responsible for the supervision of operations for gaming terminals in a licensed casino facility as set out in Section 6.13. *(Amended Jan 2015)*

13.1.5 AGLC is authorized to conduct security inspections and enforcement activities. Violations of the Casino Terms & Conditions and Operating Guidelines may result in: *(Amended Jan 2015)*

a) penalties as set out in Section 12.5, Penalty Guidelines; and

b) any of the following as provided for in the retailer agreement: *(Added Jan 2015)*

i) termination of the retailer agreement by AGLC with cause;

ii) election to remove one or more gaming terminals; or

iii) suspension of the casino retailer's ability to operate the supplied equipment.

13.1.6 Only electronic gaming devices authorized by AGLC are permitted in a licensed casino facility. *(Added Jan 2015)*

13.1.7 No person is allowed to tamper with gaming terminals or other supplied equipment. *(Added Jan 2015)*

13.1.8 The following persons are prohibited from playing gaming terminals: *(Added Jan 2015)*

a) minors (anyone under the age of 18 years);

b) anyone who appears to be intoxicated by liquor or a drug;

c) volunteer staff and charity workers for the duration of the casino event where they are working; and

d) casino facility staff (see Subsection 6.2.10).

13.1.9 Casino facility licensees must complete and submit the following prior to the installation of gaming terminals: *(Added Jan 2015)*

a) Electronic Games – Casino Retailer Application Form;

b) Electronic Games – Casino Certificate of Insurance Form (updated annually);

c) Pre-Authorized Debit (PAD) Agreement for Business (Electronic Games – Casino Retailer) Form, void cheque or equivalent and an Account Verification Letter from the financial institution; and

d) signed Electronic Games – Casino Retailer Agreement.

Note: All forms are located in Section 11.

13.1.10 Advertising and promotions for gaming terminals: *(Added Jan 2015)*

a) advertising and promotions conducted by casino facility licensees must be in accordance with Sections 1.15 and 1.16 of this handbook; and

b) at its sole discretion, AGLC may conduct or participate in advertising and promotions related to electronic gaming activities.

13.1.11 Progressive jackpot verification and payment:

a) The casino facility licensee must:

i) notify Hotline immediately at 1-800-561-4415 in the event of a wide area and local area progressive jackpot; and

ii) follow the instructions provided by Hotline for progressive jackpot verification and payment.

13.1.12 Equipment:

a) AGLC will provide the following equipment upon installation of gaming terminals in a licensed casino facility: *(Amended Jan 2015)*

i) a number and mix of gaming terminals as determined by AGLC pursuant to the terminal allocation policies in Section 16, Slot Machines and Section 17, Video Lottery Terminals;

ii) ticket redemption kiosks (TRKs) related to slot machine operations (see Section 16, Slot Machines); and

iii) fixtures including auxiliary equipment and supplies deemed necessary for the operation of the gaming terminals.

b) The casino facility licensee must: *(Amended Jan 2015)*

i) provide electrical service 24 hours per day. For specifications, see Section 16, Slot Machines and Section 17, Video Lottery Terminals;

ii) provide comprehensive or commercial general liability and property insurance per terms of the retailer agreement;

iii) ensure a telephone is available in such proximity to the location of the supplied equipment so that an individual who is operating or repairing the supplied equipment may simultaneously carry on a telephone conversation and receive instruction regarding equipment operation or maintenance; *(Added Jan 2015)*

iv) ensure paper supplies for supplied equipment are handled and stored in accordance with AGLC procedures; *(Added Jan 2015)*

v) report any gaming terminal malfunctions, suspected cheating, counterfeit money, game manipulation or other anomalies to Hotline immediately at 1-800-561-4415 and follow the procedures set out in Section 5.7 – Theft and Cheating at Play Procedures;

vi) report an unusually high number of TITO ticket paper fills to Hotline immediately at 1-800-561-4415 and verify the operational integrity of the slot machine as instructed by Hotline or through operational bulletins;

vii) provide any patron who is involved in any gaming terminal dispute with the gaming irregularities number, 1-800-742-7818. AGLC investigates all complaints;

viii) ensure that play on a gaming terminal that appears to be malfunctioning is discontinued immediately; and

ix) ensure staff awareness that any gaming terminal malfunction voids all plays and pays (see Subsections 16.3.5 and 17.3.9).

13.1.13 Hours of operation:

a) Slot machine hours are as follows:

i) for charitable casinos, between 10:00 a.m. and 3:00 a.m. daily, provided a casino event licence is in effect for that game day and the extra slot machine hours in excess of the hours the table games operate are adjoined.

b) VLT hours are as follows:

i) for a maximum of 17 hours daily between 10 a.m. and 3 a.m., seven days per week; and

ii) only during the hours the casino facility is open to the public.

c) The casino facility licensee must submit a schedule of the hours of operation (see also Section 1.13) to AGLC's Hotline two weeks in advance of any proposed changes for:

i) gaming terminals; and

ii) table games.

13.1.14 Ensure all staff responsible for operating gaming terminals receive training in the: *(Added Jan 2015)*

a) operation of the supplied equipment including the validation of tickets from gaming terminals;

b) general maintenance of gaming terminals; and

c) Deal Us In Casino Staff Training program(s) (see Section 1.7). *(Amended Apr 2016)*

13.1.15 Financial obligations: *(Amended Jan 2015)*

a) all monies received from gaming terminals less winnings paid and commissions are the property of AGLC;

b) the casino facility licensee is a bare trustee for AGLC;

c) the casino facility licensee will be responsible for the following costs:

i) all utility charges in connection with the operation of the supplied equipment, including the provision of the telephone (see Subsection 13.1.8 b) iii));

ii) replacement of any supplied equipment, destroyed, lost or stolen while on the premises and in the care of the casino facility licensee;

iii) damaged, lost or stolen keys, including the costs of key replacement and new locks; *(Added Jan 2015)*

iv) any lost, stolen or missing monies relating to the operation of the gaming terminals; and

v) any repairs to the supplied equipment due to damage or physical abuse (repairs not necessitated by normal wear and tear or by defect in the manufacturing or by defective maintenance service by AGLC or its employees, agents or contractors).

d) payment for monies due to AGLC is payable through electronic funds transfer;

e) failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment; and

f) the casino facility licensee must have required funds and trained staff available for payment of player's winnings to which players are entitled.

13.1.16 The relocation or temporary relocation of supplied equipment requires AGLC authorization: *(Added Jan 2015)*

a) casino facility licencees planning to undertake renovations or structural changes must also see Subsection 4.1.6;

b) all relocations and temporary relocations of any supplied equipment must be completed by AGLC employees or authorized agents;

c) AGLC will arrange for the installation of all internal data lines to accommodate the relocation and operation of the supplied equipment; and

d) the casino facility licensee is responsible for any damage to supplied equipment during an unauthorized relocation and must pay all repair or replacement costs (see Subsection 13.1.15 c) v)).

SECTION: 13. ELECTRONIC GAMING

13.2 SECURITY OF AGLC GAMING TERMINAL KEYS AND EMPLOYEE CARDS

(Added Sept 2013, Amended Feb 2021)

13.2.1 The casino facility licensee must:

a) acknowledge in writing the receipt of all gaming terminal keys supplied by AGLC; and

b) create employee cards for registered gaming workers who require a card to perform gaming terminal duties.

13.2.2 AGLC supplied gaming terminal keys and/or employee cards must remain on the casino property at all times.

13.2.3 AGLC supplied gaming terminal keys and employee cards must be securely stored within the casino facility with controlled access. Access to gaming terminal keys and employee cards must be immediately revoked for registered gaming workers who no longer require a key/card to perform duties (e.g., employment termination, suspension, reassignment, resignation, leave of absence, etc.).

13.2.4 The casino facility licensee must ensure that separate logs are maintained for:

a) AGLC supplied gaming terminal keys; and

b) employee cards.

The logs must include the date and time the key(s) and card were signed out and returned, and the full name and job title of the registered gaming worker. The logs must be retained for two years from the date of the last entry in the log. *(Amended Feb 2021)*

13.2.5 Registered gaming workers must sign out their own employee card and the gaming terminal key(s) assigned to them, at the beginning of their shift. At the end of their shift, registered gaming workers must return their own employee card and the gaming terminal key(s) assigned to them. *(Added Feb 2021)*

13.2.6 The casino facility licensee must ensure that AGLC Hotline is immediately notified when a gaming terminal key is damaged, lost, unaccounted for or not turned in at the end of day.

SECTION: 13. ELECTRONIC GAMING

13.2.7 The casino facility licensee is fully responsible for all costs related to replacing gaming terminal keys and locks due to damaged, lost or unaccounted for keys.

13.2.8 The casino facility licensee must ensure that employee cards are not shared or signed out to any staff, other than the person whose name is on the card.

SECTION: 13. ELECTRONIC GAMING

13.3 ACCESS TO AGLC SERVER OR TITO ROOMS

(Deleted Jan 2017; Added Jan. 2015)

For policy regarding AGLC server room access and security see Sections 4.14 and 5.11.

SECTION: 13. ELECTRONIC GAMING

13.4 CONTACTING AGLC

(Amended Jan. 2015)

13.4.1 Key Phone/Fax Numbers

Hotline:	1-800-561-4415
Hotline Fax:	780-740-7014
Alberta Health Services	
Addiction Helpline:	1-800-332-2322
Gaming Irregularities:	1-800-742-7818

SECTION: #14. APPLICATION PROCESS FOR NEW LICENSED CASINO FACILITIES

14.1 GENERAL

(Added Jan 2021)

14.1.1 AGLC's Board determines the number of facility licences issued based on maximizing or sustaining return to charities and government. Based on its market assessment, an application process for a new casino facility licence within a specified geographic area or community may be initiated by AGLC.

14.1.2 Approval for a new casino facility licence will be determined by AGLC's Board through the four step process described in Section 14.2.

14.1.3 For purposes of this section, there are two distinct types of casino facilities, as follows:

a) a "traditional casino facility," meaning a licensed facility situated in a community as defined in Subsection 14.1.10; and

b) a "First Nation casino facility," meaning a licensed facility situated on an Indian reserve as defined in Subsection 14.1.10 c) set apart by the Department of Indian Affairs (Canada) as of January 1, 2001, or an Indian Reserve set apart after that date which is contiguous to an existing reserve and to which the Province of Alberta has consented.

14.1.4 Casino facility licence applicants must bear all costs or expenses associated with their interest in or application for a casino facility licence.

14.1.5 AGLC will not assume any of the costs, expenses or liabilities associated with an applicant's interest in obtaining a casino facility licence.

14.1.6 If at any time an applicant decides it no longer wishes to pursue its application for a casino facility, it must notify AGLC in writing of its decision to withdraw its application.

14.1.7 The Board, at its sole discretion, may choose to end the application process for a new casino facility licence at any step in the process.

14.1.8 In this section, an applicant must be:

a) an adult (18 years of age or older), who is a Canadian citizen or lawfully admitted to Canada for permanent residence;

b) a corporation, incorporated or continued by or under the *Business Corporations Act* (Alberta), *Companies Act* (Alberta) or *Societies Act* (Alberta) or any other enactment or registered under Part 21 of the *Business Corporations Act* (Alberta) or Part 9 of the *Companies Act* (Alberta);

c) a partnership, registered under the *Partnership Act* (Alberta); or

d) a First Nation within the meaning of the *Indian Act* (Canada).

14.1.9 An applicant who is a:

a) partnership, includes each partner; and

b) corporation, includes the officers and directors of the corporation.

14.1.10 In Section 14, a community refers to:

a) a municipality as defined under the *Municipal Government Act* (Alberta), meaning:

i) a city, town, village, summer village, municipal district or specialized municipality;

ii) a town under the *Parks Towns Act* (Alberta); or

iii) a municipality formed by special Act; or

b) a Metis Settlement established under the *Metis Settlement Act* (Alberta); or

c) an Indian reserve as determined by Crown-Indigenous Relations and Northern Affairs Canada (CIRNAC) located within the provincial boundaries of Alberta.

14.1.11 In Section 14, a council refers to the council of:

a) a city, town, village, summer village, municipal district or specialized municipality;

b) a town under the *Parks Towns Act* (Alberta);

c) a municipality formed by special Act;

d) a Metis Settlement established under the *Metis Settlement Act* (Alberta); or

e) an Indian reserve as determined by Crown-Indigenous Relations and Northern Affairs Canada (CIRNAC) located within the provincial boundaries of Alberta.

SECTION: #14. APPLICATION PROCESS FOR NEW LICENSED CASINO FACILITIES

14.2 FOUR STEP APPLICATION PROCESS

(Added Jan 2021)

14.2.1 Following from Subsections 14.1.1 and 14.1.2, AGLC may initiate the Four Step Application Process in respect of an opportunity for a new casino facility licence within a specified geographic area or community:

1. Request for Expression of Interest and Application Process
2. Applicant Selection
3. Community Support and Background Check
4. Construction and Licensing

14.2.2 An interested party's Expression of Interest, application, or the progression of an application through the four step process described in this section must not be considered or promoted as an endorsement by AGLC for a traditional casino facility or First Nation casino facility in a geographic area or community.

STEP 1 - REQUEST FOR EXPRESSION OF INTEREST AND APPLICATION PROCESS

Expression of Interest

14.2.3 For the purposes of this section, there are two distinct types of a Request for Expression of Interest:

a) a traditional casino facility as defined in Subsection 14.1.3 a)); and

b) a First Nation casino facility as defined in Subsection 14.1.3 b)).

AGLC may issue a Request for Expression of Interest regarding either a traditional casino facility or First Nation casino facility in a specified geographic area or community.

14.2.4 Only a First Nation may apply for a First Nation casino facility in the specified geographic area or community identified in a Request for an Expression of Interest.

14.2.5 AGLC will advise all the councils located within the specified geographic area or community, through the council's chief administrative officer or municipal clerk or equivalent, about its interest to develop a traditional casino facility or First Nation casino facility in the specified geographic area or community.

14.2.6 A Request for an Expression of Interest will:

a) identify the specified geographic area or community in which the proposed new facility would be located; and

b) be publicly advertised by AGLC in the specified geographic area or community.

14.2.7 Interested parties will be allowed a period of up to 60 days to submit a response to the Request for Expression of Interest after the notice is first advertised as provided for in Subsection 14.2.6. b).

14.2.8 The response to the Request for Expression of Interest must be made in writing and must include the following:

a) a signed letter stating:

i) the name of the interested party, including a list of all parties currently holding a financial interest in the corporation or partnership;

ii) short history of the interested party's business operations, including experience in the gaming industry, if any;

iii) nature and location of the interested party's current business operation, if any;

b) a $1,000 non-refundable deposit to cover AGLC costs (e.g. reviewing the Expression of Interest and application).

14.2.9 AGLC will review responses to the Request for Expression of Interest that are received within the required time, to determine if the response has met all of AGLC's requirements (see Subsection 14.2.8). Interested parties meeting these requirements will be invited to submit an application which must meet the requirements described in Subsection 14.2.11. Applications must be submitted to AGLC in writing within the time period specified in the invitation.

14.2.10 Any Expression of Interest not received by AGLC within the specified time period will be rejected and the interested party will be notified.

SECTION: #14. APPLICATION PROCESS FOR NEW LICENSED CASINO FACILITIES

Application Process

14.2.11 Applicants must provide a concept proposal containing all required information related to the proposed new casino facility. The required information includes, but is not limited to:

a) a detailed description of the applicant, including:

i) ownership group;

ii) business experience and years in business;

iii) experience in gaming and/or hospitality industry;

b) a market assessment, including:

i) a description of the proposed market area (including a map);

ii) a three year revenue forecast, including:

- new and cannibalized revenue sources (e.g. slot machines, table games, and other revenue sources, such as a hotel, food and beverage services etc.);
- details of the methods and assumptions used in the market assessment; and
- a risk assessment.

iii) a marketing plan describing how both the financial and non-financial goals will be achieved; and

iv) the estimated economic impact to the community (e.g. jobs, tax revenue).

c) the physical design of the facility, including:

i) the legal address, site plans, drawings, blue prints, etc.;

ii) the impact on traffic and parking in the area;

iii) a description of any additional amenities to the casino facility such as a hotel, food and beverage services, entertainment, etc.;

iv) the total number of slot machines, table games and other gaming devices envisioned (see Section 16.2 Slot Machine Allocation);

v) a description of the facility's security features; and

vi) the construction costs and schedule.

d) a three year business plan, including:

i) pro forma financial statements, including:

- both income and balance sheet statements;
- revenue streams broken down by slot machines, table games and other gaming and non-gaming revenue sources;
- operational expenses categorized and described in detail; and
- a set of statements for the casino's operations and a combined set of statements for entire facility if hotel or other amenities exist in new facility;

ii) three year cash flow projections and sensitivity analysis of projections, including the:

- total financing costs;
- terms of financing; and
- total capital (construction) and operational costs.

iii) the legal structure of the organization, including:

- a description of the applicants ownership or legal structure;
- all directors or officers of the organization; and
- if financing is required, who will be the lender, and what are the terms of the credit agreement, etc.

14.2.12 AGLC does not require municipal land use, zoning and development approval for the purposes of the Initial Assessment. Applicants should defer seeking appropriate municipal approvals until advised in writing by the Board as provided for in Subsection 14.2.37.

14.2.13 After the deadline for application submission, Step Two: Application Selection may be initiated.

STEP 2 – APPLICATION SELECTION

14.2.14 Following from Subsection 14.2.13, applications for a casino facility in a specified geographic area or community are evaluated including, but not limited to the following:

a) facility standards and operating requirements set out in Sections 4 and 5 and elsewhere in these CTCOG;

b) required application information related to the proposed new facility as required under Subsection 14.2.11;

c) feasibility of the proposed new facility;

d) ownership group (e.g. business history, experience in gaming and/or hospitality industry); and

e) other gaming market considerations, including but not limited to:

i) new gaming revenue;

ii) impact on existing gaming facilities in or around the geographic area or community;

iii) benefit to charities due to the proposed the new casino facility;

iv) capital expenditure;

v) employment opportunities;

vi) economic benefit to community; and

vii) ownership concentration in the province.

14.2.15 The evaluation of applicants will be conducted by a Casino Facility Applicant Evaluation Committee ("Committee") internal to AGLC.

14.2.16 The members of the Committee will be designated by AGLC and comprise senior staff of AGLC. As AGLC deems appropriate, the Committee may obtain assistance in conducting the evaluation from external sources (e.g., consultants).

14.2.17 None of the members of the Committee may be or appear to be in a conflict of interest in fulfilling his or her duties as a member of the committee.

14.2.18 The committee will report the results of its evaluations and recommendations to the Board. The Board may initiate Step Three Community Support and Background Check.

14.2.19 Applicants will be advised by AGLC in writing of its:

a) decision and reason(s) for the decision; and

b) the right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

STEP 3 – COMMUNITY SUPPORT AND BACKGROUND CHECK

Community Support

14.2.20 Following from Subsection 14.2.18 prior to further consideration respecting the approval of the casino facility licence, the Board may consider the views of the community including the views, if any, expressed by a council in relation to a proposed new casino facility. If the Board is of the view that the community is not in favour the Board may end the application process.

14.2.21 The Board will:

a) notify the council, through the council's chief administrative officer or municipal clerk or equivalent of the name of the applicant and details of the proposed new casino facility; and

b) consider any written response of council respecting its views on the proposed new casino facility in the community.

14.2.22 The Board may also choose to consider the views of adjacent communities in the specified geographic area or community that may be directly affected by the proposed new casino facility. The Board will follow the same process used when considering the views of the community where the proposed new casino facility would be located.

14.2.23 The Board will not consider any conditions placed on or attached to a council resolution respecting a new casino facility in the community.

14.2.24 The applicant will be required to issue a public notice in the community advising the community of its proposed new casino facility in the community.

The advertisement must:

a) specify the addresses within the community affected by the new casino facility;

b) be approved by AGLC for its content and layout prior to being published; and

c) be published:

i) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) published and circulated in the community where the proposed new casino facility will be located; and

ii) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) circulated in adjacent communities (communities consulted with as provided for in Subsection 14.2.22).

Note: social media platforms may be used in conjunction with newspaper media to issue the public notice.

14.2.25 Following from Subsection 14.2.24, the applicant must submit to AGLC a copy of the complete newspaper pages containing the advertisements.

14.2.26 If the council is silent and there is no significant demonstrated opposition respecting a new casino facility in the specified geographic area or community, the Board at its discretion may decide to continue the approval process.

Background Check

14.2.27 Following from Subsection 14.2.18 the Board may direct AGLC to conduct a thorough background check into one or more selected applicants.

14.2.28 The background check is to ensure criminal interests, or those who otherwise would be a detriment to the integrity or lawful conduct of gaming in the province, are prevented from obtaining a casino facility licence. The background check process is described in Section 4.9 of the CTCOG.

14.2.29 Applicants will be required to submit an initial deposit of $10,000 or another amount specified to cover the cost of the background

checks, pursuant to section 28 of the Gaming, Liquor and Cannabis Regulation.

14.2.30 AGLC will report the results of the background check to the Board.

14.2.31 The Board will determine whether an applicant meets the requirements of the background check.

14.2.32 If the Board determines an applicant has failed to meet the requirements of the background check, the application is rejected.

14.2.33 Applicants, not meeting the background check requirements or whose application is ended by the Board, will be advised by the Board in writing of its:

a) decision; and

b) the right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

Note: Unsuccessful applicants will have the balance of their deposit returned.

14.2.34 If the Board at its discretion decides to continue the approval process, Step Four: Construction and Licensing may be initiated.

14.2.35 If the Board at its discretion decides to end the approval process for the new the casino facility in the specified geographic area or community, the process shall end.

14.2.36 The applicant will be advised by the Board in writing of its:

a) decision and reason(s) for the decision; and

b) the right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

Note: Unsuccessful applicants will have the balance of their deposit returned.

STEP 4 – CONSTRUCTION AND LICENSING

14.2.37 Following from Subsection 14.2.34 the Board may make a determination to issue a conditional approval and advise the applicant in writing it can proceed with construction.

14.2.38 Pursuant to section 4 of the Gaming, Liquor and Cannabis Regulation, the Board must decide whether or not to consider any objection

made respecting a new casino facility licence and advise the person who made the objection as to the Board's decision in the matter (see Section 1.3).

14.2.39 The Board may approve the proposed casino facility licence if the applicant has met any conditions set by the Board with respect to the conditional approval, all of the other requirements in Section 14.2 and can:

a) demonstrate compliance with the approved structure and amenity requirements as outlined in the application package;

b) demonstrate compliance with all provincial and federal legislation, regulation and policies;

c) demonstrate compliance with all municipal requirements, including local zoning or development requirements respecting the new casino facility and produce any permits, licences or authorizations necessary to operate; and

d) produce a copy of an executed lease, rental agreement or certificate of title or other acceptable proof of right to occupy and control the premises (pursuant to section 14 of the Gaming, Liquor and Cannabis Regulation).

14.2.40 The Board may at its discretion refuse to issue a casino facility licence if:

a) the applicant has:

i) misled the Board; or

ii) provided inaccurate or incomplete information with regards to its licence application; or

iii) not constructed the casino facility in compliance with the approved structure and amenity requirements or within the timeframe as outlined in the application package; or

b) there is a substantial change to, or circumstance affecting the validity of, the information previously provided; or

c) there is a substantial change to the market.

SECTION: #14. APPLICATION PROCESS FOR NEW LICENSED CASINO FACILITIES

14.2.41 If the Board refuses to issue a casino facility licence under the authority of Subsection 14.2.40, the applicant will be advised in writing of the:

a) reason(s) for the decision; and

b) right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.1 GENERAL

(Added Nov 2017)

15.1.1 Approval of an expansion or licensing of a relocation of an existing licensed casino facility in a specified community may only be issued after all the respective requirements in this section have been met.

15.1.2 An application for the expansion or relocation of an existing licensed casino facility in a community within a market area is initiated by a casino facility licensee.

15.1.3 In Section 15, a community refers to:

a) a municipality as defined under the *Municipal Government Act* (Alberta), meaning:

i) a city, town, village, summer village, municipal district or specialized municipality;

ii) a town under the *Parks Towns Act* (Alberta); or

iii) a municipality formed by special Act; or

b) a Metis Settlement established under the *Metis Settlement Act* (Alberta); or

c) an Indian reserve as determined by Indigenous and Northern Affairs Canada (INAC) located within the provincial boundaries of Alberta.

15.1.4 In Section 15, a council refers to the council of:

a) a city, town, village, summer village, municipal district or specialized municipality;

b) a town under the *Parks Towns Act* (Alberta);

c) a municipality formed by special Act;

d) a Metis Settlement established under the *Metis Settlement Act* (Alberta); or

e) an Indian reserve as determined by Indigenous and Northern Affairs Canada (INAC) located within the provincial boundaries of Alberta.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.1.5 AGLC will not assume any of the costs, expenses or liabilities associated with a licensee's application to expand or relocate a licensed casino facility.

15.1.6 Unless otherwise agreed to by AGLC, the casino facility licensee is responsible for any costs, expenses or liabilities associated with expanding or relocating a licensed casino facility.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.2 EXPANSION OF A CASINO FACILITY

15.2.1 In this section, "expansion" means the significant physical expansion of the gaming or non-gaming (public or restricted) areas (see Subsection 4.1.2) in a licensed casino facility as determined by AGLC. Such expansion may include an increase in the building envelope or its outer dimensions (for facility renovations or minor structural changes see Subsection 4.1.6).

Note: A building envelope refers to the outer perimeter of the building in which an existing licensed casino facility is located and includes space rented, leased, subleased, sold or otherwise provided to others in the same building. A building's outer dimensions refer to the building height as well as its envelope.

15.2.2 Approval for the expansion of an existing licensed casino facility may only be issued after the requirements in the following steps are completed in order:

1. Initial Assessment
2. Community Support
3. Approval

15.2.3 If at any time the casino facility licensee decides it no longer wishes to pursue the application for the expansion of its casino facility, it must notify AGLC in writing of its decision to withdraw the application.

STEP 1 – INITIAL ASSESSMENT

15.2.4 A casino facility licensee initiates this step by providing to AGLC a proposal in writing for the expansion of an existing licensed casino facility.

15.2.5 The proposal must contain all required information related to the expansion of the casino facility, including, but not limited to:

a) a detailed description of the proposed expansion, including all gaming and non-gaming (public or restricted) areas that will be affected;

b) a market assessment, including:

i) a three year revenue forecast, including:

- revenue sources (e.g. slot machines, table games and other revenue sources, such as a hotel, food, beverage services etc.);
- methods and assumptions used in the market assessment; and
- a risk assessment.

ii) a marketing plan describing how both the financial and non-financial goals will be achieved; and

iii) the estimated economic impact to the community (e.g. jobs, tax revenue).

c) the physical design of the facility, including:

i) the legal address, site plans, drawings, blue prints, etc.;

ii) the impact on traffic and parking in the area;

iii) a description of any additional amenities to the casino such as a hotel, food and beverage services, entertainment etc.;

iv) the total number of slot machines, table games and other gaming devices envisioned (see Section 16.2 Slot Machine Allocation);

v) a description of the facility's security features; and

vi) the construction costs and schedule.

d) a three year business plan, including:

i) pro forma financial statements, including:

- both income and balance sheet statements;
- revenue streams broken down by slot machines, table games and other gaming and non-gaming revenue sources;
- operational expenses categorized and described in detail; and

- a set of statements for the casino's operations and a combined set of statements for entire facility if hotel or other amenities exist in the existing facility.

ii) three year cash flow projections and sensitivity analysis of projections, including the:

- total financing costs;
- terms of financing; and
- total capital (construction) and operational costs.

iii) the legal structure of the organization, including:

- a description of any changes in the licensee ownership or legal structure;
- any new directors or officers of the organization; and
- if financing is required, who will be the lender and what are the terms of the credit agreement etc.

Note: any change to the legal structure or financial interests of the licensee will be subject to AGLC background checks (see Section 4.9).

15.2.6 Upon receipt of a proposal, which meets all the requirements in Subsection 15.2.5, AGLC will assess and validate the information to determine whether the proposed expansion has merit.

15.2.7 The assessment process will take into consideration factors such as, but not limited to, the:

a) impact to charities' gaming proceeds should the proposed casino expansion take place;

b) cannibalization of gaming revenues in the market area and surrounding areas resulting from the proposed casino expansion;

c) impact to existing or approved gaming facilities (i.e. casinos, RECs, video lottery retailers and bingo halls) in the existing market area; and

d) financial impacts to local charities, the General Revenue Fund and AGLC. *(Amended Apr 2020)*

15.2.8 The casino facility licensee will be advised if its submission is determined to have merit based on AGLC's assessment of the:

a) completeness and accuracy of information in the submission;

b) feasibility of the proposed expansion of the facility;

c) benefit to charities due to the proposed expansion of the casino facility;

d) projected gross gaming revenue. A significant proportion of the projected gross gaming revenue is expected to be new gaming revenue and not be drawn from other existing or approved gaming facilities; and

e) impact on the viability of existing or approved gaming facilities.

An initial assessment that deems the expansion of an existing licensed casino facility to have merit does not assure the level of success or support of the casino expansion.

15.2.9 If AGLC deems the expansion to have merit, Step Two: Community Support may be initiated.

15.2.10 A proposal deemed to have merit shall not be considered or promoted as an endorsement by AGLC of an expansion of the licensed casino facility.

15.2.11 If AGLC deems the proposed expansion not to have merit, the approval process concludes and the expansion will be rejected.

15.2.12 The casino facility licensee who submitted a proposal that has been rejected by AGLC will be advised in writing of the:

a) reason(s) for the decision; and

b) process to appeal AGLC's decision (see Subsection 15.2.27).

STEP 2 – COMMUNITY SUPPORT

15.2.13 Following from Subsection 15.2.9, AGLC may consider the views of the community including the views, if any, expressed by a council in relation to a proposed casino expansion. If AGLC is of the view that the community is not in favour AGLC may refuse to approve a proposed licensed facility expansion at any time throughout the process.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.2.14 AGLC will:

a) notify the council, through the council's chief administrative officer or municipal clerk or equivalent of the name of the applicant and details of the proposed expansion; and

b) consider any written response of council respecting its views on the proposed expansion of the licensed casino facility in the community.

15.2.15 AGLC will not consider any conditions placed on or attached to a council resolution respecting a casino expansion in the community.

15.2.16 Applicants are required to issue a public notice in the community advising the community of the proposed casino expansion in the community. The advertisement must:

a) specify the addresses within the community affected by the casino expansion;

b) be approved by AGLC for its content and layout prior to being published; and

c) be published in at least three issues within two consecutive weeks, where possible, in a newspaper(s) published and circulated in the community where the licensed casino facility is located.

15.2.17 Following from Subsection 15.2.16, the applicant must submit to AGLC a copy of the complete newspaper pages containing the advertisements.

15.2.18 If the council is silent and there is no significant demonstrated opposition respecting the casino expansion in the community, AGLC at its discretion may decide to continue the approval process.

15.2.19 If AGLC at its discretion decides to continue the approval process, Step Three: Approval may be initiated.

15.2.20 If AGLC at its discretion decides to conclude the approval process for the expansion of the casino facility in the community, the process shall conclude.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.2.21 The casino facility licensee who made application for the expansion of the casino facility will be advised by AGLC in writing of the:

a) reason(s) for the decision; and

b) process to appeal AGLC's decision (see Subsection 15.2.27).

STEP 3 – APPROVAL

15.2.22 Following from Subsection 15.2.19, AGLC will make a determination respecting the approval of the proposed expansion of a licensed casino facility.

15.2.23 AGLC may approve the proposed expansion of a licensed casino facility if the casino facility licensee has met all of the other requirements in Section 15.2 and can:

a) demonstrate compliance with the approved structure and amenity requirements as outlined in the application package;

b) demonstrate compliance with all provincial and federal legislation, regulation and policies;

c) demonstrate compliance with all municipal requirements, including local zoning or development requirements respecting the expansion and produce any permits, licences or authorizations necessary to operate; and

d) produce a copy of an executed lease, rental agreement or certificate of title or other acceptable proof of right to occupy and control the premises (pursuant to section 14 of the Gaming, Liquor and Cannabis Regulation).

15.2.24 If AGLC decides to approve the expansion of the casino facility, AGLC will advise the licensee in writing it can proceed with construction.

15.2.25 AGLC may at its discretion refuse to approve a proposed expansion of a licensed casino facility if:

a) the casino facility licensee has:

i) misled AGLC; or

ii) provided inaccurate or incomplete information respecting the expansion.

b) the proposed expansion does not comply with the approved structure and amenity requirements per Subsection 15.2.23;

c) there is a substantial change to, or circumstance affecting the validity of, the information previously provided; or

d) there is a substantial change to the market.

15.2.26 If AGLC refuses to approve a proposed expansion under the authority of Subsection 15.2.25, the casino facility licensee will be advised in writing of the:

a) reason(s) for the decision; and

b) process to appeal AGLC's decision (see Subsection 15.2.27).

15.2.27 If the licensee disagrees with the decision of AGLC, it may appeal the decision in writing as follows:

a) AGLC's Vice President of Regulatory Services will consider the letter of appeal from the licensee. If the appeal is rejected, the licensee will receive a letter outlining the reason for the decision.

b) If the licensee disagrees with the decision of the Vice President of Regulatory Services, it may further appeal the decision in writing to AGLC's Chief Executive Officer.

c) The Chief Executive Officer will consider the letter of appeal from the licensee. If the appeal is rejected, the licensee will receive a letter outlining the reason for the decision.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.3 RELOCATION OF A CASINO FACILITY

15.3.1 In this section, "relocation" means the relocation of an existing licensed casino facility for the purpose of serving its existing player base or market area; or capturing a new or different player base or market area as determined by AGLC.

15.3.2 Approval for or licensing of the relocation of an existing licensed casino facility may only be issued after the requirements in the following steps are completed in order:

1. Initial Assessment
2. Community Support
3. Approval and Licensing

15.3.3 If at any time the casino facility licensee decides it no longer wishes to pursue the application for the relocation of the casino facility, it must notify AGLC in writing of its decision to withdraw the application.

STEP 1 – INITIAL ASSESSMENT

15.3.4 A casino facility licensee initiates this step by providing to AGLC a proposal in writing for the relocation of an existing licensed casino facility.

15.3.5 The proposal must contain all required information related to the relocation of the casino facility, including, but not limited to:

a) a market assessment, including:

i) a description of the proposed market area (including a map);

ii) a three year revenue forecast, including:

- revenue sources (e.g. slot machines, table games, and other revenue sources, such as a hotel, food and beverage services etc.);
- methods and assumptions used in the market assessment; and
- a risk assessment.

iii) a marketing plan describing how both the financial and non-financial goals will be achieved; and

iv) the estimated economic impact to the community (e.g. jobs, tax revenue).

b) the physical design of the facility, including:

i) the legal address, site plans, drawings, blue prints, etc.;

ii) the impact on traffic and parking in the area;

iii) a description of any additional amenities to the casino such as a hotel, food and beverage services, entertainment, etc.;

iv) the total number of slot machines, table games and other gaming devices envisioned (see Section 16.2 Slot Machine Allocation);

v) a description of the facility's security features; and

vi) the construction costs and schedule.

c) a three year business plan, including:

i) pro forma financial statements, including:

- both income and balance sheet statements;
- revenue streams broken down by slot machines, table games and other gaming and non-gaming revenue sources;
- operational expenses categorized and described in detail; and
- a set of statements for the casino's operations and a combined set of statements for entire facility if hotel or other amenities exist in new facility;

ii) three year cash flow projections and sensitivity analysis of projections, including the:

- total financing costs;
- terms of financing; and
- total capital (construction) and operational costs.

iii) the legal structure of the organization, including:

- a description of any changes in the licensee ownership or legal structure;
- any new directors or officers of the organization; and
- if financing is required, who will be the lender, and what are the terms of the credit agreement, etc.

Note: any change to the legal structure or financial interests of the licensee will be subject to AGLC background checks (see Section 4.9).

15.3.6 The physical location of the proposed new facility is submitted as part of the application. It must remain unchanged throughout the process.

15.3.7 AGLC does not require municipal land use, zoning and development approval for the purposes of the Initial Assessment. Applicants should defer seeking appropriate municipal approvals until advised in writing by the Board as provided for in Subsection 15.3.29.

15.3.8 Upon receipt of a proposal, which meets all the requirements in Subsection 15.3.5, AGLC will assess and validate the information to determine whether the proposed relocation has merit.

15.3.9 The assessment process will take into consideration factors such as, but not limited to, the:

a) impact to charities' wait times for access to casino events and gaming proceeds in both the existing and new market areas should the proposed casino facility relocation take place;

b) cannibalization of gaming revenues in the proposed new market area and surrounding areas;

c) impact to existing or approved gaming facilities (i.e. casinos, RECs, video lottery retailers and bingo halls) in the proposed new market area; and

d) financial impacts to local charities, the General Revenue Fund and AGLC. *(Amended Apr 2020)*

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.3.10 The casino facility licensee will be advised if its submission is determined to have merit based on AGLC's assessment of the:

a) completeness and accuracy of information in the submission;

b) feasibility of the proposed new facility;

c) benefit to charities due to the proposed relocation of the casino facility;

d) projected gross gaming revenue. A significant proportion of the projected gross gaming revenue is expected to be new gaming revenue and not be drawn from other existing or approved gaming facilities; and

e) impact on the viability of existing or approved gaming facilities.

An initial assessment that deems the relocation of an existing licensed casino facility to have merit does not assure the level of success or support of the casino relocation.

15.3.11 If AGLC deems the relocation to have merit, Step Two: Community Support may be initiated.

15.3.12 A proposal deemed to have merit shall not be considered or promoted as an endorsement by AGLC of a relocation of the licensed casino facility.

15.3.13 If AGLC deems the proposed relocation not to have merit, the approval process concludes and the relocation will be rejected.

15.3.14 The casino facility licensee who submitted a proposal that has been rejected by AGLC will be advised in writing of the:

a) reason(s) for the decision; and

b) right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

STEP 2 – COMMUNITY SUPPORT

15.3.15 Following from Subsection 15.3.11, AGLC may consider the views of the community including the views, if any, expressed by a council in relation to a proposed casino relocation. If AGLC is of the view that the community is not in favour AGLC may refuse to approve a proposed licensed facility relocation at any time throughout the process.

SECTION: 15. EXPANSION OR RELOCATION OF A CASINO FACILITY

15.3.16 AGLC will:

a) notify the council, through the council's chief administrative officer or municipal clerk or equivalent of the name of the applicant and details of the proposed relocation; and

b) consider any written response of council respecting its views on the proposed relocation of the licensed casino facility in the community.

15.3.17 AGLC may also choose to consider the views of adjacent communities in the specified market area that may be directly affected by the proposed casino relocation. AGLC will follow the same process used when considering the views of the community where the proposed new casino facility would be located.

15.3.18 AGLC will not consider any conditions placed on or attached to a council resolution respecting a casino relocation in the community.

15.3.19 Applicants are required to issue a public notice in the community advising the community of the proposed relocation in the community. The advertisement must:

a) specify the addresses within the community affected by the relocation;

b) be approved by AGLC for its content and layout prior to being published; and

c) be published:

i) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) published and circulated in the community where the proposed licensed casino facility will be located; and

ii) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) circulated in adjacent communities (communities consulted with as provided for in Subsection 15.3.17).

15.3.20 Following from Subsection 15.3.19, the applicant must submit to AGLC a copy of the complete newspaper pages containing the advertisements.

15.3.21 At the discretion of AGLC, if the relocation of a licensed casino facility is essentially for the purpose of attracting the same player base or serving the same market area the requirements outlined in Subsection 15.3.19, regarding issuance of a public notice in the community, may be waived.

Note: All applications regarding the relocation of an existing casino facility will be posted on AGLC's website (see Subsection 1.3.9).

15.3.22 If the council is silent and there is no significant demonstrated opposition respecting the casino relocation in the community, AGLC at its discretion may decide to continue the approval process.

15.3.23 If AGLC at its discretion decides to continue the approval process, Step Three: Approval and Licencing may be initiated.

15.3.24 If AGLC at its discretion decides to conclude the approval process for the relocation of the casino facility in the community, the process shall conclude.

15.3.25 The casino facility licensee who made application for the relocation of the casino facility will be advised by AGLC in writing of the:

a) reason(s) for the decision; and

b) right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

STEP 3 – APPROVAL AND LICENSING

15.3.26 Following from Subsection 15.3.23, the Board will make a determination respecting the approval of the proposed relocation of a licensed casino facility.

15.3.27 The Board may approve the proposed relocation of a licensed casino facility if the casino facility licensee has met all of the other requirements in Section 15.3 and can:

a) demonstrate compliance with the approved structure and amenity requirements as outlined in the application package;

b) demonstrate compliance with all provincial and federal legislation, regulation and policies;

c) demonstrate compliance with all municipal requirements, including local zoning or development requirements respecting

the relocation and produce any permits, licences or authorizations necessary to operate; and

d) produce a copy of an executed lease, rental agreement or certificate of title or other acceptable proof of right to occupy and control the premises (pursuant to section 14 of the Gaming, Liquor and Cannabis Regulation).

15.3.28 Pursuant to section 4 of the Gaming, Liquor and Cannabis Regulation, the Board must decide whether or not to consider any objection made respecting a relocation of a licensed casino facility, and advise the person who made the objection as to the Board's decision in the matter (see Section 1.3).

15.3.29 If the Board decides to approve the relocation of the casino facility, the Board will advise the licensee in writing it can proceed with construction.

15.3.30 The Board may at its discretion refuse to approve a proposed relocation of a licensed casino facility if:

a) the casino facility licensee has:

i) misled the Board; or

ii) provided inaccurate or incomplete information respecting the relocation; or

iii) not constructed the casino facility in compliance with the approved structure and amenity requirements or within the timeframe as outlined in the application package; or

b) there is a substantial change to, or circumstance affecting the validity of, the information previously provided; or

c) there is a substantial change to the market.

15.3.31 If the Board refuses to approve a proposed relocation under the authority of Subsection 15.3.30, the casino facility licensee will be advised in writing of the:

a) reason(s) for the decision; and

b) right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

SECTION: 16. SLOT MACHINES

16.1 GENERAL

16.1.1 In accordance with the *Gaming, Liquor and Cannabis Act*, slot machines are installed in a casino, a licensed gaming facility, as part of the casino network. *(Added Mar 2016)*

16.1.2 *(Deleted Apr 2018)*

SECTION: 16. SLOT MACHINES

16.2 SLOT MACHINE ALLOCATION

16.2.1 Slot machine allocation will be done in a manner that achieves the primary objective of network optimization. Network optimization is achieved by allocating slot machines to an eligible casino facility considering the consumer demand in the regional market area served by the casino facility as assessed by AGLC (see Subsection 16.2.4). *(Added Jan. 2015)*

16.2.2 In this subsection, regional market area refers to the census based regional market zones. The regional market zones include: *(Amended Jan. 2015)*

a) Calgary and surrounding 40 kilometres from city centre;

b) Edmonton and surrounding 40 kilometres from city centre;

c) Fort McMurray and surrounding 40 kilometres from city centre;

d) Grande Prairie and surrounding 40 kilometres from city centre;

e) Lethbridge and surrounding 40 kilometres from city centre;

f) Medicine Hat and surrounding 40 kilometres from city centre;

g) Red Deer and surrounding 40 kilometres from city centre; and

h) Rural will consist of a 100 kilometre radius surrounding a site.

16.2.3 AGLC determines the number and type of slot machines provided to eligible casino facilities. *(Amended Jan. 2018)*

16.2.4 To achieve network optimization AGLC may, from time to time, adjust the number and type of slot machines installed in an eligible casino facility considering, but not limited to, the following: *(Amended Jan. 2015)*

a) The provincial net sales per terminal hour (NSPTH), cash played per terminal hour (CPPTH) and games played per terminal hour (GPPTH) values based on slot machine sales trends within Alberta.

b) A review of the regional market zones (see subsection 16.2.2) to determine if consumer demand for the region indicates a need for additional slot machines.

c) For the regions that indicate a positive consumer demand, each facility in the region will be assessed to determine which facility(s) (if any) qualify for additional terminals (Note: for the rural market zones, the individual facility assessment will include any urban site(s) whose location is within the 100 kilometre radius). The review will include, but not be limited to:

   i) average facility NSPTH, CPPTH, and GPPTH excluding terminals located in designated smoking areas;

   ii) slot capacity during peak hours;

   iii) available current floor space or pre-approved renovation floor space (Note: A maximum increase in additional slot machine allocations following renovations will not exceed 25 per cent of the number of existing slot machines or a maximum of 75 slot machines, whichever number is lower);

   iv) facility standards (see Section 4.1); and

   v) other gaming market considerations.

d) In order to optimize the performance of high limit slot machines, AGLC will allocate high limit slots considering facility eligibility and may adjust a facility's high limit slot machine allocation considering the details in Section 16.2. *(Added Jan. 2015)*

e) In addition to the facility standards in Section 4.1, a First Nation licensed gaming facility with smoking bylaws in place must also meet the following facility standards if slot machines were added to the facility beyond the initial installation or to be considered for additional slot machines:

   i) unless otherwise approved by AGLC, a gaming floor divided into two distinct areas; a non-smoking area and a smoking area;

   ii) a minimum of 70 per cent of the gaming floor is designated as non-smoking;

   iii) a minimum of 70 per cent of the total number of slot machines will be situated within the 70 per cent designated non-smoking area; and

iv) the designated non-smoking gaming area must be clearly separated from the smoking area and must be monitored for compliance.

v) The above non-smoking/smoking ratio must be continually maintained or AGLC may remove slot machines at its discretion. *(Amended Sep 2015)*

16.2.5 AGLC may remove slot machines from a casino facility and not replace them. *(Amended Jan. 2015)*

SECTION: 16. SLOT MACHINES

16.3 SLOT/ELECTRONIC TABLE GAME STRUCTURE

(Amended Sept. 2015)

16.3.1 Game instructions and pay-out tables are available on each slot terminal and electronic table game.

16.3.2 The minimum and maximum bet may vary by game and denomination.

16.3.3 AGLC will assign the casino facility licensee to a maximum credit balance/hand pay limit tier which best fits the casino facility. The assigned tier determines the maximum credit balances and hand pay limits for slot machines (not including electronic table games) by denomination as follows:

TIER 1			**TIER 2**		
Denomination	Max Credit Balance	Hand Pay Limit	Denomination	Max Credit Balance	Hand Pay Limit
$0.01	$1000	$500	$0.01	$1000	$250
$0.02	$1000	$500	$0.02	$1000	$250
$0.05	$1000	$1000	$0.05	$1000	$250
$0.25	$1000	$1000	$0.25	$1000	$1000
$1.00	$2500	$2500	$1.00	$2500	$2500
$5.00	$5000	$5000	$5.00	$5000	$5000

The casino facility licensee must adhere to the assigned tier and may request AGLC to consider a change of their tier assignment once per year.

SECTION: 16. SLOT MACHINES

16.3.4 Maximum terminal credit balance:

a) When an individual prize amount results in a slot or electronic table game terminal balance equal to or greater than the maximum terminal credit balance, one of the following outcomes will result as dictated by the game rules:

i) a Ticket In Ticket Out (TITO) ticket is produced for the amount of the last win or the amount exceeding the maximum terminal credit balance; or

ii) a hand pay for the amount of the last win.

16.3.5 An individual prize amount over the hand pay limit for the slot or electronic table game will result in a hand pay.

16.3.6 For both 16.3.4 and 16.3.5 above, any remaining credits are left on the slot or electronic table game until either played or cashed-out.

16.3.7 A slot machine or electronic table game malfunction voids all plays and all pay-outs.

SECTION: 16. SLOT MACHINES

16.4 SLOT OPERATIONS

16.4.1 The casino facility licensee must:

a) provide electrical 115 volt, 60 cycle single phase, dedicated circuit(s) with three – wire grounded outlet(s) on a separate 15 amp or 20 amp breaker(s) (dedicated line from the fuse box) that is designed to provide electrical service 24 hours per day; and

b) at all times, ensure power capacity for the power consumption of all gaming terminals. *(Added Apr 2018)*

16.4.2 Casino facility licensees must provide a slot cash cage, physically separate from the licensed charity casino cash cage (see Section 4.2 for further details.)

16.4.3 Upon installation of slot machines, AGLC will provide ticket redemption kiosks (TRKs) where patrons can exchange their slot machine TITO tickets for cash or exchange large denomination bills for smaller denominations. AGLC, at its discretion, will: *(Amended Apr 2018)*

a) assess the initial need for TRKs in a casino and will normally install one TRK for every increment of 150 slot machines; and

b) review the ongoing TRK usage within an individual casino and assess the need to adjust the number of TRKs. AGLC may install an additional TRK(s) or remove a TRK(s) based on this assessment.

16.4.4 The float and financial controls for the slot operation must be maintained separate from all other casino financial transactions and controls.

16.4.5 A casino facility licensee may make application to AGLC for permission to obtain advances from the charity's casino float for additional slot float funds in emergency situations only (e.g., slot float has been depleted by a large number of payouts). Approval is subject to:

a) Submission and approval of forms to be used to document such advances which includes:

i) Slot Advance Voucher; and

ii) Fill Slip.

SECTION: 16. SLOT MACHINES

b) Complying with the following conditions:

i) the entire advance must be repaid in cash prior to the completion of a licensed charity's event. Issuing cheques to repay an advance is not permitted;

ii) if the advance is required near closing time on the final day of the event, the casino facility licensee will deduct the amount of such an advance from their outstanding opening casino float total. For example, if the casino provides a $120,000 casino float, and an advance of $5,000 is required by the slot manager, the event licensee will only be responsible for paying back $115,000;

iii) all advances are to be taken and paid in one thousand dollar increments; and

iv) each casino facility licensee will develop and submit for approval their own fill/credit slips and all related forms necessary to conduct a slot operation.

c) Transactions will be witnessed by the general manager and completed as follows:

i) slot manager prepares and signs a Slot Advance Voucher and presents it, through the general manager, to the banker in the cash cage;

ii) witnessed by the cash cage advisor, banker in the cash cage prepares a fill slip and provides the slot manager with the amount of cash requested;

iii) banker, cash cage advisor, slot manager and general manager sign fill slip; and

iv) banker enters transaction on the Banker's Daily Master Cash/Chip Control form.

d) A copy of the Slot Advance Voucher must be submitted to AGLC with the other records/reports within seven days after the completion of the casino event.

SECTION: 16. SLOT MACHINES

16.5 PAYMENT OF TITO TICKETS

16.5.1 TITO tickets must be immediately redeemed and paid when presented subject to the following conditions: *(Amended Feb 2021)*

a) a TITO ticket must be redeemed at the location where it was issued;

b) a TITO ticket may be redeemed by the player for up to 30 days from the date of issue (also see subsection 16.5.2);

c) TITO tickets may be redeemed at the slot cash cage or at ticket redemption kiosks (TRKs);

d) TRKs may redeem up to eight TITO tickets totaling a maximum of $2,500 in a single transaction; and

e) TITO tickets for slot machines or electronic table games exceeding $2,500 must be redeemed at the slot cash cage. *(Amended Sept. 2015)*

16.5.2 A player presenting a TITO ticket issued more than 30 days prior must be directed to call the Gaming Irregularities number at 1-800-742-7818.

SECTION: 16. SLOT MACHINES

16.6 TICKET IN TICKET OUT (TITO) TICKET RETENTION AND DESTRUCTION

16.6.1 Redeemed TITO tickets are to be retained by the casino as the casino's proof of transaction. *(Amended Feb 2021)*

16.6.2 TITO tickets that have the following characteristics must be retained for a period of six years from the date of the end of the casino's annual reporting period: *(Amended Feb 2021)*

a) tickets that cannot be processed through the SDS;

b) tickets included in an unbalanced cashier session (e.g., questionable tickets, such as ticket does not exist, invalid, or uncommitted data); and *(Amended Feb 2021)*

c) tickets that have any other extraordinary circumstances (e.g., involved in a patron dispute).

16.6.3 TITO tickets that have been redeemed by a cashier in a balanced cashier session, or that have been redeemed through a slot machine or ticket redemption kiosk and have been scanned through the soft count process must be retained for a period of 30 days, after which time they can be destroyed. *(Amended Feb 2021; Amended Sept 2019)*

16.6.4 If a TITO ticket is required to be removed by an AGLC inspector, the casino must keep a log of the ticket removed including the ticket validation number, ticket date, date the ticket was removed, and the individual who removed the ticket. The log must also be signed by the casino personnel providing the ticket and AGLC inspector removing the ticket. This log must be retained for a period of six years from the date of the end of the casino's annual reporting period.

16.6.5 All TITO tickets must be destroyed using a cross cut shredding device that shreds to a minimum of 4mm or less as follows:

Internally

a) Internal TITO ticket destruction must be completed by a minimum of two casino personnel. A form including the following information must be completed and retained for a period of six years from the date of the end of the casino's annual reporting period:

i) date of destruction;

ii) dates of tickets destroyed; and

iii) signatures of casino personnel carrying out the destruction.

Externally

b) An external party may be contracted to complete the destruction of TITO tickets. A certificate or record of destruction must be retained from the destruction company and a form including the following must be completed and retained for a period of six years from the date of the end of the casino's annual reporting period:

i) date of destruction;

ii) dates of tickets destroyed; and

iii) signatures of casino personnel and the destruction company.

SECTION: 16. SLOT MACHINES

16.7 REMUNERATION

16.7.1 AGLC pays remuneration related to slot machine operations as follows: *(Amended Feb 2021)*

a) Casino facility licensees are provided a commission based on a percentage of slot machine total net sales per week. The commission rate is set by AGLC and is 15 per cent of total net sales.

b) Total net sales is calculated as total in less total out less progressive increments.

c) AGLC allocates 15 per cent of the total net sales generated by slot machines to licensed charities. These funds will be collected by AGLC and must be pooled in accordance with Section 2.9, Pooling (also see Subsection 2.2.2).

SECTION: 16. SLOT MACHINES

16.8 PAYMENT TO AGLC

(Amended Feb 2021)

16.8.1 Slot machine operations are invoiced daily and the invoice amount is communicated by secured portal or other electronic means. Payment for monies due to AGLC is payable twice weekly through electronic funds transfer. *(Added Apr 2018)*

16.8.2 Failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment. *(Amended Jan 2015)*

SECTION: 16. SLOT MACHINES

16.9 SLOT TOURNAMENTS

(Amended Aug 2019)

16.9.1 Where market demand and conditions warrant, AGLC will make available slot machines on the regular casino floor which have the capability to be designated and operated as tournament slots.

16.9.2 Applications for slot tournaments must be submitted for AGLC approval using the Slot Tournament Approval Application (Form 5651). Applications must be received at least 10 business days prior to the intended event. The following information must be included in the application:

a) sample entry form;

b) complete rules of play;

c) eligibility and disqualification criteria;

d) complete prize structure;

e) proposed advertising (see Section 1.15) or promotions (see Section 1.16);

f) event media plan (if the event will be filmed, recorded, or broadcast); and

g) any third party agreements for sponsorship or for the provision of gaming services related to assisting with managing and/or promoting tournaments (see Subsection 1.19.4 b).

Note: Gaming service providers (see Section 1.19) not currently approved must successfully complete the background check outlined in Section 4.9.

16.9.3 Casino facility licensees must not use, or be affliated with, online gaming sites (free or pay) to:

a) qualify participants for its tournaments (i.e., select tournament participants are determined through online, free or pay, poker tournaments); or

b) supplement tournament prize money.

16.9.4 Tournaments may be advertised in any medium, but the content is limited to date, time and prize value. Advertisements must be informational in nature and not promote play (see Section 1.15).

SECTION: 16. SLOT MACHINES

16.9.5 Third party sponsorship is permitted with prior AGLC application approval. Examples of third party sponsorship include hotel packages, meals at restaurants, and tickets to cultural and sporting events.

16.9.6 Signage displaying tournament rules of play and regulations must be prominently displayed for the duration of the tournament.

16.9.7 Slot tournament fees must go entirely to the cash prize pool, and must not be used by the casino facility licensee to cover administrative or operational costs of the slot tournament.

16.9.8 Slot tournament fees must not be used to purchase prize merchandise. Additional promotional prizes, such as merchandise, must be provided at the casino facility licensee's expense.

16.9.9 Slot tournament fees including entry fees and re-buy fees will normally be limited to $200 each. Tournament fees exceeding $200 may be considered by AGLC for approval.

16.9.10 Satellite tournaments awarding seats into other tournament events may be permitted with prior AGLC approval.

16.9.11 All tournament prizes must be awarded immediately following the end of the tournament. If any prize is withheld, for any reason, the casino facility licensee must immediately notify AGLC and submit a Discrepancy Report.

16.9.12 Financial reports related to any tournament event, including attendance records and prize payout records, must be made available to AGLC upon request and remain available for at least two years following the tournament event (see Section 1.23).

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.1 GENERAL

17.1.1 In accordance with the *Gaming, Liquor and Cannabis Act*, video lottery terminals (VLTs) are installed in a casino, a licensed gaming facility, as part of the casino network. *(Amended Mar 2016)*

17.1.2 In this section:

a) "Single game" means a single spin by the player producing an outcome where the player's wager on the spin results in a win with a prize being transferred to the player's credit meter, or where the player's wager is lost. In the case of a win, game mechanics may result in the game prize being accumulated (i.e. bonus or free spin(s)) with the final outcome of the single game prize being transferred to the player's credit meter; and

b) "i-LINK" means the i-LINK™ site controller.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.2 VLT ALLOCATION

17.2.1 VLT allocation will be done in a manner that achieves the primary objective of network optimization. Network optimization is achieved by allocating VLTs to an eligible casino facility considering consumer demand as assessed by AGLC (see Subsection 17.2.3).

17.2.2 AGLC determines the number and type of VLTs provided to eligible casino facilities.

17.2.3 To achieve network optimization AGLC may, from time to time, adjust the number and type of VLTs installed in an eligible casino facility considering, but not limited to, the following:

a) The availability of VLTs.

b) The consumer demand in the regional market area (see Subsection 16.2.2) served by the casino facility as assessed by AGLC.

c) The consumer demand at the casino facility as assessed by AGLC, including:

i) average facility sales;

ii) VLT usage during peak hours;

iii) available current floor space or pre-approved renovation floor space;

iv) facility standards; and

v) other gaming market considerations.

17.2.4 AGLC may remove VLTs from a casino facility and not replace them.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.3 VLT GAME STRUCTURE

17.3.1 A variety of games are offered on VLTs. Game instructions and pay-out tables are available on each terminal.

17.3.2 The pay-out may vary by game and the network will average approximately 92 per cent.

17.3.3 The minimum and maximum bet may vary by game.

17.3.4 The maximum prize that can be won in a single game may vary by game and will not exceed $10,000.

17.3.5 When a series of individual prize awards of $1,250 or less result in a terminal balance of $1,250 or more, the VLT automatically produces a cash-out ticket of $1,250.

17.3.6 For individual prize awards over $1,250, the VLT automatically produces a cash-out ticket of a value equal to the individual prize award.

17.3.7 For both Subsections 17.3.5 and 17.3.6, players will receive one cash-out ticket leaving the remaining balance on the terminal until either played or cashed-out.

17.3.8 All game hardware and software are tested by an approved independent gaming laboratory prior to installation in the VLTs to verify the pay-out percentage conforms to the approved range.

17.3.9 A VLT malfunction voids all plays and all pay-outs.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.4 VLT OPERATIONS

17.4.1 The i-LINK must be situated at a location other than the volunteer table game cash cage.

17.4.2 The casino facility licensee must provide:

a) One dedicated electrical circuit (115 volt 15 amp. receptacle) at each of the following areas within the premises:

i) the location for the i-LINK; and

ii) the demarcation point (telephone/utility room), where the telephone line enters the building (within 1.2 metres of the router rack).

b) At the VLT(s):

i) one 15 amp/115 volt dedicated electrical outlet for every two VLTs; or

ii) one 20 amp/115 volt dedicated electrical outlet for every three VLTs.

17.4.3 No person is allowed to tamper with the VLTs and/or the i-LINK.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLT)

17.5 PAYMENT OF VLT CASH-OUT TICKETS

17.5.1 VLT cash-out tickets must be immediately validated and paid, when presented at the location where the i-LINK is situated, subject to the following conditions:

a) a cash-out ticket with a face value less than or equal to $1,250 must be redeemed at the location where it was issued;

b) a cash-out ticket with a face value in excess of $1,250 may be redeemed at the location where it was issued or at an AGLC approved cross-validation site (see subsection 17.6);

c) casino facility licensees must have the required funds for payment of all VLT cash-out tickets issued at their location; and

d) a cash-out ticket may be redeemed by the player for up to 30 days from the date of issue (also see subsection 17.5.2).

17.5.2 A player presenting a cash-out ticket issued more than 30 days prior must be directed to call the Gaming Irregularities number at 1-800-742-7818.

17.5.3 To assist in ensuring prizes are paid to the person who is named on the back of the cash-out ticket, casino facility licensees will, for cash-out tickets originating at their site and in excess of $1,250 that are not paid out the same day issued:

a) check the back of the ticket to see if the claimant name has been printed on the space provided;

b) if a name has been printed on the back of the ticket, ask the claimant for an acceptable form of I.D. (see Section 5.5.9 a) – d)) and confirm that the name on the back of the cash-out ticket is the same name that appears on the I.D.; and

c) where a discrepancy exists, the casino facility licensee should not pay the prize and contact AGLC's Hotline (see subsection 13.4) to report the incident and seek further instructions.

SECTION: 17. VIDEO LOTERY TERMINALS (VLT)

17.6 VLT CASH-OUT CROSS-VALIDATION

17.6.1 AGLC will select and approve a number of cross-validation sites, including casino facilities, throughout the Province for the purpose of validating and paying out VLT cash-out tickets of a value exceeding $1,250 that could not be paid at the originating retail site (see 17.5.1 c)).

17.6.2 Casino cross-validation site selection will be based on an assessment by AGLC including, but not limited to:

a) market coverage to meet player needs; and

b) the casino facility licensee's ability to provide the services of a cross-validation site.

17.6.3 Cross-validation sites must ensure all staff responsible for cross validating VLT cash-out tickets from another location receive instruction in cross-validation procedures.

17.6.4 Cross-validation sites must maintain a sufficient float to:

a) pay, upon validation, all cash-out tickets originating from their own retail site; and

b) pay, upon validation, cash-out tickets of a value exceeding $1,250 originating from another VLT site.

17.6.5 A player presenting a cash-out ticket issued more than 30 days prior must be directed to call Gaming Irregularities Number at 1-800-742-7818.

17.6.6 To assist in ensuring prizes are paid to the person who is named on the back of the cash-out ticket, a cross-validation site will, for all cash-out tickets originating from another VLT site:

a) check the back of the ticket to see if a name has been printed on the space provided;

b) if a name has been printed on the back of the ticket, ask the claimant for an acceptable form of I.D. (see section 1.10.4 a) – d)) and confirm that the name on the back of the cash-out ticket is the same name that appears on the I.D.; and

SECTION: 17. VIDEO LOTERY TERMINALS (VLT)

c) where a discrepancy exists, the cross-validation site should not pay the prize and contact AGLC's Hotline (see section 13.4) to report the incident and seek further instructions.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.7 VLT CASH-OUT TICKET RETENTION AND DESTRUCTION

17.7.1 Cash-out tickets should be retained for a period of 30 days from the date of validation, after which time they may be destroyed.

After the 30 day retention period has lapsed, the validated cash-out tickets should be destroyed. Shredding is the recommended method of destruction subject to the following standards:

a) straight cut – 3mm or less; or

b) cross cut – 4mm or less.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.8 REMUNERATION

17.8.1 AGLC pays remuneration related to VLT operations as follows:

a) Casino facility licensees are provided a commission based on a percentage of VLT net sales (cash-in less cash-out) per week. The commission rate is set by AGLC and is 15 per cent of net sales.

b) Commission due to casino facility licensees is paid weekly.

SECTION: 17. VIDEO LOTTERY TERMINALS (VLTS)

17.9 PAYMENT TO AGLC

17.9.1 All cash received from VLTs, less winnings paid, is the property of AGLC. AGLC will provide each casino facility licensee with an invoice via the i-LINK every Monday indicating the exact amount payable. If Monday is a statutory holiday, the invoice will be provided the next business day.

17.9.2 The exact amount payable from the invoice must be:

a) deposited in the casino facility licensee's designated bank account the day the invoice is received, during business banking hours; and

b) available for processing to AGLC.

17.9.3 Failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.1 AML – DEFINITIONS

18.1.1 In this handbook, the following AML definitions apply:

a) "AML" means anti-money laundering.

b) "AML administrators" means registered gaming workers designated by the casino facility licensee to enter the required report data into the AML reporting system and/or search patron information. *(Amended Aug 2016)*

c) "AML key positions" means games manager, pit supervisor, pit boss (includes poker houseman), slot manager, slot supervisor and cash cage advisor. *(Amended Aug 2016)*

d) "AML liaison" means the registered gaming worker designated by the casino facility licensee as the main contact between the facility and AGLC's AML unit, representing the facility on AML matters.

e) "AML person of interest" means any person deemed by AGLC's AML unit as being a risk to the administration of the AML program. *(Added Aug 2017)*

f) "AML reporting system" means the application system used by AGLC to receive, collect, review and submit AML financial transaction reports.

g) "AML unit" means AGLC's unit responsible for the compliance and regulatory enforcement of the AML program, which includes a designated compliance investigator assigned to the casino facility.

h) "Casino disbursements (CD)" means a single or multiple payout(s), totaling $10,000 CAD or more in a 24 hour period.

i) "CAD" means Canadian dollar.

j) "CAD equivalent" means the value of any country's currency in Canadian dollars.

k) "FINTRAC" means Financial Transactions and Reports Analysis Centre of Canada.

l) "FOIP" means the Freedom of Information and Privacy Act.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

m) "Foreign Currency Exchange Ticket" means an entry in a transaction register or log maintained by the casino facility licensee.

n) "Gaming day" means the casino daily business hours of between 10:00 am and 3:00 am.

o) "LCT (large cash transaction)" means a single or multiple cash transactions received from a patron totaling $10,000 CAD or more in a 24 hour period which includes buy-ins and foreign currency exchanges.

p) "PTR (Patron Transaction Report)" is the document used to record patron information and all reportable transactions. A PTR is used for three types of reportable transactions: foreign currency exchange (FCE), large cash transaction (LCT), and casino disbursement (CD). *(Amended Aug 2016)*

q) "PCMLTFA" means the Proceeds of Crime (Money Laundering) and Terrorist Financing Act.

r) "Property" means any type of real or personal property in a casino facility licensee's possession or control.

s) "PSPN (provincial stop play notification)" means a notification issued by AGLC to immediately suspend an individual's gaming activities at all casino and REC facilities until further notified by AGLC. *(Added Nov 2018)*

t) "SPN (stop play notification)" means a notification issued by the casino facility licensee that immediately suspends all gaming activities within the facility.

u) "Terrorist" or a "Terrorist group" includes anyone that, as one of their purposes or activities, facilitates or carries out any terrorist activity.

v) "Third party" means the individual who is the beneficial owner of the currency, TITO ticket and/or chips. *(Added Aug 2016)*

w) "UT (unusual transaction)" means a financial transaction of any monetary value where a person suspects that the transaction or attempted transaction is related to the commission or attempted commission of a money laundering offence or terrorist financing activity offence.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

x) "UTR (Unusual Transaction Report)" is the document used to record and report unusual transactions. *(Added Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.2 AML - GENERAL

(Amended Aug 2016)

18.2.1 AGLC, as a reporting entity under the PCMLTFA, has statutory reporting, record keeping and filing obligations to FINTRAC for all traditional casino facilities as well as electronic gaming and dice games in Host First Nations casinos within Alberta.

18.2.2 Casino facility licensees, AML liaisons, AML key positions and AML administrators must respond to all requests for information by the AML unit within the specified time frame provided.

18.2.3 AGLC inspectors and FINTRAC officials may at any time inspect, audit, examine, make copies or temporarily remove any PTR, supporting documents or records that were created for the purposes of complying with Section 18.

18.2.4 AML key positions and registered gaming workers completing PTRs, UTRs, and/or supporting documents must ensure all information is recorded in a legible manner.

18.2.5 AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked.

18.2.6 Receipts for gaming related transactions may only be issued for progressive jackpot wins using the Alberta Progressive Jackpot Win Receipt.

18.2.7 In Host First Nation casino facilities, the Host First Nation charity is considered the reporting entity as it relates to table games, excluding those involving dice.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.3 CONFIDENTIALITY AND PRIVACY

18.3.1 All information collected, transmitted, or stored in the AML reporting system is the property of AGLC and cannot be released without prior written approval of AGLC.

18.3.2 When collecting, accessing, using, disclosing, storing and disposing of personal patron information on behalf of AGLC for the purposes of Section 18, casino facility licensees must comply with the provisions of Alberta's FOIP Act.

18.3.3 Photocopying patron credit/debit cards is prohibited.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.4 FACILITY REQUIREMENTS

18.4.1 Casino facility licensees are responsible for the submission of all LCTs, CDs, UTs (completed or attempted) and reporting all incidents related to property owned or controlled by, or on behalf of, a terrorist or terrorist group to the AML unit. *(Amended Aug 2016)*

18.4.2 Casino facility licensees must appoint an AML liaison responsible for facility compliance with Section 18 and internal facility AML procedures.

18.4.3 Casino facility licensees must appoint AML administrators responsible for data entry into AGLC's AML reporting system. *(Amended Aug 2016)*

18.4.4 All internal facility policy and procedures relating to AML must be submitted to AGLC prior to implementation; including subsequent amendments. The policy and procedures must not contravene the PCMLTFA, existing AGLC policies, and/or FINTRAC requirements. Internal policy and procedures must include: *(Amended Aug 2016)*

a) name of the designated AML liaison;

b) names of designated AML administrators;

c) name designated AML key positions responsible for reviewing the accuracy and content of all UTRs prior to submission to AGLC ; *(Amended Aug 2016)*

d) communication and procedural protocols for issuing an SPN;

e) a work flow plan illustrating the handling of all PTRs, UTRs, and supporting documents, including safeguarding and destruction procedures; *(Amended Aug 2016)*

f) a communication strategy outlining the accurate and timely distribution of patron information within the casino between staff, departments, and cash cages; and

g) be made available in the charity cash cage. *(Amended Aug 2016)*

18.4.5 Casino facility licensees must use the PTR to record all reportable transactions. *(Amended Aug 2016)*

18.4.6 Casino facility licensees must destroy all PTRs, UTRs, patron tracking records, and supporting documents 30 calendar days from the date of the transaction. *(Amended Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.4.7 For all AML reportable incidents involving more than one registered gaming worker, a discrepancy report must be completed by each individual as an attachment to the UTR. *(Amended Aug 2016)*

18.4.8 Casino facility licensees must obtain prior approval from AGLC for any procedure that involves the storage, collection, or retention of patron funds.

18.4.9 Casino facility licensees must obtain prior written approval from AGLC for any program or procedure that is used to deliver funds to patrons through non-traditional financial instruments (i.e. cheque, gift certificates, or gift cards).

18.4.10 Casino facility licensees must notify the AML unit within the same gaming day of any change of employment status of AML administrators and/or AML key positions that have access to the AML reporting system. *(Amended Aug 2016)*

18.4.11 *(Deleted Aug 2016)*

18.4.12 Casino facility licensees are prohibited from conducting denomination exchanges in excess of $1,000 CAD per patron on the same gaming day.

18.4.13 Chip redemption at the slot cage for less than $10,000 CAD is prohibited when the charity cash cage is operational.

18.4.14 On single or multiple buy-ins of $5,000 or more involving a high quantity of low denomination bills ($5, $10, $20, and/or $50) of unknown origin, AML key positions must ensure that: *(Amended Nov 2018; Aug 2016)*

a) patrons are cashed out in the same denomination bills that the patron used during buy-in; *(Added Aug 2016)*

b) amounts and denomination used during buy-in are recorded on the PTR;

c) surveillance records the patron buy-in(s); and

d) transaction details and patron identity are communicated to the cash cage advisor prior to patron cash-out to ensure accurate return of funds. *(Amended Aug 2016)*

18.4.15 Casino facility licensees must begin tracking of table game transactions at a minimum of $3,000 CAD. *(Amended Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.4.16 Electronic fund transfers and opening of patron accounts are prohibited.

18.4.17 Casino facility licensees must maintain a log of staff training records relating to AML; up to and including subsequent training provided by AGLC; policy addendums requiring review; and/or any internal training programs related to AML. *(Added Aug 2016)*

18.4.18 Failure to comply with internal procedures receiving AGLC approval may result in administrative sanctions. *(Added Aug 2016)*

18.4.19 Casino facility licensees are required to actively monitor the casino Gaming Information Network (GIN) for AML bulletins that identify persons of interest. *(Added Aug 2017)*

18.4.20 Casino facility licensees must adhere to all directives in AML bulletins and PSPNs in accordance with Subsection 4.4.4 d). *(Amended Nov 2018; Added Aug 2017)*

18.4.21 All patron transactions, including third party transactions (see Section 18.12), conducted by a casino employee must be: *(Added Nov 2018)*

a) conducted by a registered gaming worker; and

b) recorded in a log that includes the:

i) patron's name;

ii) date and time;

iii) type and amount of the transaction; and

iv) registered gaming worker's name and registration number.

Note: Patron transaction logs must be retained until destruction is authorized by AGLC.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.5 AML TRAINING & CERTIFICATION

18.5.1 A casino facility licensee must ensure that all registered gaming workers working in the facility maintain a valid AGLC AML certification.

18.5.2 Registered gaming workers must be AGLC AML certified before working in a casino. Equivalency will not be granted for certification offered in other provinces.

18.5.3 A minimum score on AGLC's AML training program examination is required for certification.

18.5.4 AML certification is valid for a period of two years from the date of successfully completing the program.

18.5.5 Valid AML certification must be maintained by successfully repeating the AML training program examination before the certification expiry date.

18.5.6 Additional mandatory training may be required prior to the certification expiry date.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.6 IDENTIFICATION REQUIREMENTS & IDENTITY VERIFICATION

18.6.1 For the purposes of complying with the PCMLTFA, FINTRAC requirements, and this section, identity verification is the responsibility of the AML key position.

18.6.2 Valid primary identification must:

a) have a photo;

b) have a name;

c) *(Deleted Nov 2019)*

d) be government issued (excluding provincial health care cards); *(Amended Aug 2016)*

e) include date of birth;

f) not be expired;

g) have a unique identifier number; and

h) be an original (not a copy).

18.6.3 If the identification appears not to be genuine, the AML key position must request a second piece of identification. Valid secondary identification must:

a) have a name;

b) be government issued (excluding provincial health care cards); *(Amended Aug 2016)*

c) have a unique identifier number; and

d) include date of birth.

18.6.4 If the primary and secondary identification appear not to be genuine:

a) the transaction must not be completed;

b) an SPN will be issued by the casino facility licensee's AML key position;

c) the incident must be immediately reported to local law enforcement and AGLC's Hotline; and

d) the AML key position must complete a UTR, following the procedures outlined in Subsection 18.11.4. *(Amended Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.6.5 When verifying a patron's identity, the identification must be photocopied and attached to the PTR.

18.6.6 If patron information has been previously verified through valid identification and has been entered into the AML reporting system within the existing calendar year and confirmed by an AML key position, the patron is not required to produce identification. An AML key position must verify the patron's identity on the PTR. *(Amended Aug 2016)*

18.6.7 Casino facility licensees must verify and/or update patron information on the AML reporting system when alerted to do so. *(Amended Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.7 CASH TRANSACTIONS

(Deleted Nov 2018)

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.8 LARGE CASH TRANSACTIONS

18.8.1 The following cash transactions require patron identification (as per Section 18.6) and the completion of a PTR (LCT) by an AML key position:

a) a single cash buy-in by a patron of $10,000 CAD or more; and

b) multiple cash buy-ins by a patron on the same gaming day totalling $10,000 CAD or more. *(Added Aug 2019)*

18.8.2 PTRs (LCT) and supporting documents detailing single or multiple LCTs by a patron of $10,000 CAD or more occurring within the same gaming day must be reported as a LCT to the AML unit by the AML administrator within seven calendar days. *(Amended Aug 2016)*

18.8.3 PTRs (LCT) must include:

a) patron name, physical address, occupation, and date of birth;

b) type, place of issue, expiry date and unique identifier number of the identification (if produced); and

c) time and date, game type, table number position for each transaction.

18.8.4 If a patron refuses to provide any information required to complete a PTR (LCT):

a) the transaction must not be completed;

b) an SPN must be issued by the casino facility licensee, games manager and/or slot manager; and

c) the AML key position must comply with the procedures outlined in Subsection 18.11.4.

18.8.5 AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked. *(Added Nov 2018)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.9 CASINO DISBURSEMENTS

18.9.1 The following cash transactions require patron identification (as per Section 18.6) and the completion of a PTR (CD) by an AML key position:

a) a single cash payout to a patron of $10,000 CAD or more; and

b) multiple cash payouts to a patron on the same gaming day totalling $10,000 CAD or more. *(Added Aug 2019)*

18.9.2 PTRs and supporting documents detailing all cash-outs, slot jackpot payouts and tournament prizes of $10,000 CAD or more, in one or more transactions within the same gaming day, must be reported to the AML unit by the AML administrator within seven calendar days. *(Amended Aug 2016)*

18.9.3 PTRs (CD) must include:

a) patron name, physical address, occupation and date of birth;

b) the type, place of issue, expiry date and unique identifier number of the identification produced to verify the name;

c) game location (if known), date, time, transaction type and amount of each transaction; and

d) any additional information as requested on the PTR.

Note: Completion of patron physical description section on the PTR is not required if identity has been verified.

18.9.4 All transactions at the volunteer cash cage for $3,000 CAD or more must be witnessed by a cash cage advisor.

18.9.5 If a patron refuses to provide acceptable identification as outlined in Section 18.6 or any information required to complete the PTR (CD):

a) the transaction is not to be completed;

b) an SPN will be issued by the casino facility licensee, games manager or slot manager; and

c) the AML key position will follow the procedures outlined in Subsection 18.11.4.

18.9.6 AML key positions must begin tracking of patron payouts at a minimum of $3,000 CAD. *(Amended Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.9.7 AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked. *(Added Nov 2018)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.10 FOREIGN CURRENCY EXCHANGE

18.10.1 The AML key position must ensure all foreign currency exchange transactions totalling less than $3,000 CAD are recorded on a Foreign Currency Exchange Ticket and contain the following:

a) date;

b) amount;

c) currency of purchase or sale;

d) the method; and

e) the amount and currency of payment made or received.

18.10.2 Single or multiple transactions of foreign currency exchanges totaling $3,000 CAD or more require recording of the patron's identification and the completion of a PTR (FE) by an AML key position. All information listed in Subsection 18.10.1 and the PTR (FE) must be submitted to the AML unit by the AML administrator within seven calendar days. *(Amended Aug 2016)*

18.10.3 The AML administrator is responsible for ensuring all Foreign Currency Exchange Tickets are accurate and retained by the casino facility.

18.10.4 To determine whether an LCT in foreign currency is reportable (the equivalent of $10,000 CAD or more) use:

a) the nominal exchange rate provided by the Bank of Canada website (available at www.bankofcanada.ca) for the time of the transaction; or *(Amended Mar 2017)*

b) the actual exchange rate applied when the transaction was processed if no Bank of Canada rate was published for the currency of the transaction. *(Amended Mar 2017)*

18.10.5 Single or multiple foreign currency exchange transactions equivalent to $10,000 CAD or more in a 24 hour period must be reported to the AML unit by the AML administrator within seven calendar days. When reporting the transactions: *(Amended Aug 2016)*

a) a separate entry for each type of foreign currency exchanged in a 24 hour period must be submitted; and

b) the CAD value at the nominal exchange rate value (not the cash exchange rate value) must be recorded.

18.10.6 Foreign currency exchange transactions must be refused should a patron fail to provide the required information.

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18.11 UNUSUAL TRANSACTIONS

18.11.1 The following are examples (not a complete list) of unusual transactions whether attempted or completed:

a) patron requests a winning cheque in a third party's name;

b) acquaintances bet against each other in even-money games and it appears that they are intentionally losing to one patron in the party;

c) patron attempts to avoid the filing of a PTR by breaking up transactions into smaller transactions;

d) patron attends facility in possession of cash and requests a casino cheque with no game play;

e) patron attends a facility with cash purchasing a large volume of chips, participates in limited gambling activity and then requests a casino cheque;

f) patron puts money into slot machines and claims accumulated credits as a jackpot win after minimal play;

g) patron attempts to exchange large quantity of small denomination bank notes for large denomination bank notes;

h) patron uses multiple names;

i) patron takes the full amount of a verified win in large denomination bills, leaves the casino and then returns to the casino shortly thereafter in possession of smaller denomination bills;

j) patron conducts one or more buy ins of $5,000 or more with low denomination bills ($5, $10, $20 and/or $50) of unknown origin; *(Amended Nov 2018; Aug 2016)*

k) patron refuses to provide any information required to complete a PTR;

l) chip or cash passing between patrons that is unusual, demonstrates a pattern that may be deemed unusual, or is inconsistent with standard patron gaming activities; *(Amended Aug 2016)*

m) patron has another patron conduct a transaction on their behalf; or *(Amended Aug 2016)*

n) patron occupation doesn't match the aggregate buy-in used for play. *(Amended Aug 2016)*

18.11.2 UTRs and supporting documents detailing unusual transactions must be completed and submitted to the AML unit by an AML administrator within seven calendar days of the incident. *(Amended Aug 2016)*

18.11.3 A registered gaming worker who witnesses an actual or attempted UT must immediately notify an AML key position.

18.11.4 The AML key position witnessing or receiving a report of a UT must:

a) obtain the assistance of security or surveillance to capture video surveillance of the patron(s) involved;

b) attempt to obtain and document all available information on the patron(s) involved (i.e. name, address, date of birth, occupation, description, vehicle licence plate number); *(Amended Mar 2017)*

c) obtain patron identification if possible;

d) not disclose to the patron(s) involved that a UTR is being submitted; *(Amended Aug 2016)*

e) document all relevant details on a UTR; and *(Amended Aug 2016)*

f) ensure all gaming workers and staff involved or having witnessed the transaction complete and submit a discrepancy report in conjunction with the incident. *(Added Aug 2016)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.12 THIRD PARTY TRANSACTIONS

18.12.1 AML key positions must take reasonable measures to determine if any individual is acting on behalf of a third party when conducting a LCT or receiving casino disbursements or opening of a patron account. If it is determined there is a third party involved, the AML key position must obtain and record the required information on the third party and the patron. *(Amended Aug 2016)*

a) *(Deleted Aug 2016)*

b) *(Deleted Aug 2016)*

c) *(Deleted Aug 2016)*

d) *(Deleted Aug 2016)*

18.12.2 If an AML key position is unable to determine that there is a third party involved and has reasonable grounds to suspect that there is a third party involved, a UTR must be completed following these procedures: *(Amended Aug 2016)*

a) obtain the assistance of security or surveillance to capture video surveillance photos of the patron(s) involved; *(Added Aug 2016)*

b) document the suspected nature of the relationship between the third party and the patron involved in the transaction; and *(Added Aug 2016)*

c) not complete the transaction if the identity of the third party cannot be determined. *(Added Aug 2016)*

18.12.3 *(Deleted Nov 2018)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.13 CHEQUE ISSUANCE

18.13.1 Casino facility licensees may issue cheques to patrons for confirmed table winnings and jackpots. Cheques for confirmed winnings:

a) can only be issued to a patron whose play has been fully tracked on a PTR and the win confirmed by an AML key position;

b) must have "verified win" imprinted on the face of the cheque; and

c) cannot be issued for poker winnings or TITO tickets.

18.13.2 Casino facility licensees may issue cheques for patron convenience and/or security purposes. Cheques being issued to patrons for non-confirmed winnings:

a) can be issued for cashed bank drafts, money orders, certified cheques and/or cash calls;

b) must not be issued for cash from unverified financial sources (including debit card withdrawals) in excess of $5,000 CAD per gaming day; and *(Amended Nov 2018)*

c) must have "non-verified win" imprinted on the face of the cheque.

18.13.3 Casino facility licensees:

a) must issue all cheques in numerical sequence;

b) must maintain a sequential log of cheques and transactions; *(Added Aug 2016)*

c) must retain a duplicate copy of all cheques;

d) must only issue cheques to patrons meeting the identification requirements outlined in Section 18.6; and

e) are prohibited from issuing a cheque in the name of a third party or company.

18.13.4 Casino facility licensees are prohibited from issuing cheques in exchange for cash.

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18.14 GIFT CERTIFICATES/CARDS

18.14.1 Gift certificates/cards, must be sequentially numbered and a sample must be approved by AGLC in writing.

18.14.2 Individual gift certificate/card denomination must not exceed $500 in value.

18.14.3 Casino facility licensees must maintain a record of all gift certificate/card purchases documenting:

a) purchaser name;

b) amount of gift certificate(s)/card(s) purchased;

c) date of purchase;

d) gift certificate/card number(s); and

e) method of payment.

18.14.4 Purchases by patrons of individual or multiple gift certificates/cards made in cash must not exceed $500 CAD in a single gaming day.

18.14.5 Casino facility licensees are prohibited from redeeming gift certificates/cards in excess of $500 per patron per gaming day.

18.14.6 Casino facility licensees are prohibited from redeeming gift certificates/cards at a gaming table.

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.15 TERRORIST PROPERTY

18.15.1 Where any patron on a Gaming Information Network (GIN) Terrorist bulletin is found to be in a casino the casino facility licensee must:

a) immediately notify local law enforcement;

b) immediately notify the AML unit; and

c) the AML key position must complete a PTR (UT), following the procedures outlined in Subsection 18.11.4

18.15.2 If there is property in the casino's possession or control that is owned or controlled by or on behalf of a terrorist or a terrorist group, or a listed person, the casino employee and/or the AML key position must:

a) immediately notify local law enforcement; *(Added Aug 2016)*

b) immediately notify the AML unit; and

c) the AML key position must issue an SPN and complete a UTR, following the procedures outlined in Subsection 18.11.4. *(Amended Nov 2018)*

SECTION: 18. ANTI-MONEY LAUNDERING (AML)

18.16 AML REPORTING SYSTEM

18.16.1 The AML reporting system is the platform by which casino facility licensees will submit PTRs and supporting documents of all reportable transactions outlined in Section 18.

18.16.2 The data and information retained in the AML reporting system and all associated hardware is the property of AGLC.

18.16.3 AML administrators must not use an additional system, backup system or database to collect or store duplicate records or copies of records of the information entered into the AML reporting system.

18.16.4 AML administrators responsible for entering information into the AML reporting system must obtain individual access rights to the system from AGLC.

18.16.5 AML administrators having access rights to AGLC's AML reporting system are prohibited from:

a) allowing any other person access to the system;

b) allowing any other person use of their AML system account;

c) accessing the system from any location outside the casino; and

d) using the system for purposes outside the scope of identified roles and responsibilities. *(Added Aug 2016)*

SECTION: 19. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS

19.1 FINANCIAL REPORTING

19.1.1 Audit Requirements:

a) Casino facility licensee's books and records are subject to audit and review by AGLC and must be maintained in a manner acceptable to AGLC.

b) The articles/instruments normally subject to audit, include, but are not limited to:

i) books of original entry (including computerized records);

ii) invoices;

iii) bank statements and cancelled cheques or cheque images;

iv) event control and summary sheets;

v) inventory control forms;

vi) contracts, agreements, or similar documents;

vii) payroll records;

viii) Income Tax and Goods and Service Tax (GST) returns;

ix) internal financial controls (see Subsection 19.1.3);

x) annual audited financial statements;

xi) external accountants working paper files;

xii) ownership structure;

xiii) meeting minutes (e.g. board, shareholder); and

xiv) the financial records of any affiliated entity as defined by the Gaming, Liquor and Cannabis Regulation and to which the casino facility licensee has made gaming payments.

19.1.2 Audited Financial Statements:

a) Each casino facility licensee must appoint a Professional Accounting Firm (PAF), in good standing, to audit its financial statements annually or as otherwise prescribed in Subsection 19.1.2.

b) The audit of these statements must be conducted in accordance with the Canadian Generally Accepted Auditing Standards.

c) Audited Financial Statements and Management Letter must be submitted to AGLC within 120 days of the casino facility licensee's fiscal year-end or as otherwise prescribed in Subsection 19.1.2.

d) If the casino facility licensee or related person(s) owns or operates other casino amenities (e.g. hotel, food, and beverage services) which are contained within the building envelope of the licensed facility, the financial statements must cover those operations in addition to the gaming operations.

e) In the event of a licence termination, change in the business entity, or a change in the percentage of ownership of more than 20 percent, AGLC may require the licensee or former licensee to provide financial statements covering the period since the period covered by the previous standard financial statements.

f) The financial statements must be presented on a comparative basis. Consolidated financial statements may be filed by commonly owned or operated casino facilities; however, separate unaudited financial statements and fixed asset schedules must also be included for each facility.

g) The PAF must express an opinion on the consolidated financial statements as a whole.

h) If a casino facility licensee changes its business year, it must prepare and submit to AGLC audited financial statements covering the stub (interim) period within 120 days of the end of the stub period. If the new fiscal year end falls within the 120 day period, the financial results for the stub period must be incorporated into the new business year.

i) AGLC has the authority to request special purpose statements prepared by the casino facility licensee at any time during the term of its current licences. These statements may cover a wide spectrum of revenue and expenses, and other performance indicators. AGLC reserves the right to request that

these special purpose statements be audited by the PAF. The casino facility licensee must provide the requested information within 45 days of receiving the request from AGLC.

19.1.3 Internal Financial Controls

a) Each casino facility licensee must have effective financial internal controls. The controls must be designed to ensure that:

i) casino facility licensee and AGLC assets are safeguarded;

ii) financial records are accurate and reliable;

iii) transactions are performed only in accordance with management's general or specific authorization;

iv) transactions are recorded in a manner to ensure appropriate reporting of gaming revenue, fees, and taxes, and to maintain accountability for assets;

v) access to assets is permitted only in accordance with the casino facility licensee and AGLC's specific authorization;

vi) recorded accountability for assets is compared with actual assets at reasonable intervals and appropriate action is taken with respect to any discrepancies; and

vii) functions, duties, and responsibilities are appropriately segregated and performed in accordance with sound practices by competent, qualified personnel.

19.1.4 *(Deleted Jun 2020)*

SECTION: 19. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS

19.2 INFORMATION TECHNOLOGY (IT) STANDARDS

19.2.1 Casino facility licensees are responsible for maintaining the confidentiality, integrity and availability of data. Casino facility licensees are responsible for developing and maintaining all internal information technology (IT) controls and must take reasonable measures to ensure their IT systems (production environment) are secure and protected at all times. IT Controls include the following: *(Amended Jun 2020)*

a) entity level controls;

b) security management controls;

c) systems development & change management controls:

d) system operations controls;

e) network management controls; and

f) third party services controls

19.2.2 As IT systems evolve, casino facility licensees must ensure their own internal systems and processes are updated to remain current and encompass new technologies and advancements in the protection and security of data. *(Amended Jun 2020)*

19.2.3 *(Deleted Jun 2020)*

19.2.4 *(Deleted Jun 2020)*

19.2.5 *(Deleted Jun 2020)*

19.2.6 *(Deleted Jun 2020)*

19.2.7 *(Deleted Jun 2020)*

19.2.8 *(Deleted Jun 2020)*

19.2.9 *(Deleted Jun 2020)*

19.2.10 *(Deleted Jun 2020)*

SECTION: 20. WINNER'S EDGE

20.1 WINNER'S EDGE - DEFINITIONS

20.1.1 In this section, the following Winner's Edge definitions apply:

a) "information sharing" means the exchange, collection, use and/or disclosure of Winner's Edge member personal information.

b) "personal information" means recorded information about an identifiable individual as set out in section 1(1)(n) of the *Freedom of Information and Protection of Privacy (FOIP) Act*.

c) "Personal Information Sharing Agreement" means the agreement governing the use of Winner's Edge member's personal information for the administration of the Winner's Edge program and its promotions.

d) "points" means points awarded to Winner's Edge members for gaming terminal play or Winner's Edge program promotional offers.

e) "Winner's Edge" (or WE) means AGLC's player rewards program offered at Alberta casinos and racing entertainment centres.

f) "Winner's Edge data" (or WE data) means any personal information or play statistics collected from Winner's Edge members, active or inactive, in the administration of the Winner's Edge program.

g) "Winner's Edge Playbook" (or WE Playbook) means AGLC's operating procedures used by casino staff to support the Winner's Edge program.

h) "Winner's Edge member" (or WE member) means a patron who has registered and agreed to participate in the Winner's Edge program.

i) "Winner's Edge partner" (or WE partner) means a casino facility licensee that has entered into an agreement with AGLC to provide the Winner's Edge program at its facility.

SECTION: 20. WINNER'S EDGE

20.2 WINNER'S EDGE - GENERAL

20.2.1 AGLC's WE program is a voluntary casino player rewards program operated in partnership with participating casino facility licensees.

20.2.2 Casino facility licensee participation in the WE program is optional.

20.2.3 Casino facility licensees may continue offering their own player rewards program in conjunction with AGLC's WE program. WE member's personal information and play statistics collected for the purposes of administering the WE program cannot be used outside of the WE program or for use in a WE partner's own player rewards program.

20.2.4 WE partners must comply with the provisions set out in the CTCOG, WE Playbook and Personal Information Sharing Agreement.

20.2.5 WE partners must ensure trained WE partner program staff (see Subsection 20.5.2) are onsite and available to assist casino patrons and WE members with WE program related inquiries (e.g. program information, enrollment and authentication of new members) during the casino facility licensee's scheduled hours of operation (see Subsection 1.13.1).

20.2.6 Patron enrolment in the WE program must be completed in accordance with the procedures outlined in the CTCOG and the WE Playbook.

20.2.7 WE partners must ensure WE program information is available and easily accessible to patrons inquiring about, or wanting to participate in the WE program.

20.2.8 WE partners will maintain and make available a WE Playbook at a location within the casino that is easily accessible by staff performing WE program related job duties.

20.2.9 WE partners must not enroll any patron into the program who is enrolled in AGLC's Self-Exclusion (SE) program or banned from entering Alberta casinos.

SECTION: 20. WINNER'S EDGE

20.2.10 The staff, directors and shareholders of WE partners may become WE members; however, they are prohibited from:

a) enrolling in the WE program or having a personal WE membership activated where they are employed or at any other casino/REC facility owned by the same licensee;

b) participating in WE promotions where they are employed or at any other casino/REC facility owned by the same licensee; and

c) participating in any WE related contests (either conducted by an individual WE partner or a province-wide WE program prize draw).

20.2.11 WE program points are the property of AGLC and are assigned to WE members as prescribed within the WE Playbook.

20.2.12 Points allocated by AGLC to WE partners for guest service purposes may be awarded to WE members at the discretion of the WE partner as outlined in the WE Playbook.

20.2.13 Except as prescribed, WE partners are not otherwise permitted to assign, change, award, or redeem points without the consent of AGLC. For further information related to WE program points, contact the WE Call Centre at 1-833-WIN-EDGE (1-833-946-3343).

20.2.14 WE points are redeemable for free play, additional contest entries, or WE merchandise as offered from time to time. WE partners may not accept points as currency or payment for any other products or services.

20.2.15 AGLC may, at any time, access the casino facility and inspect, audit, make copies of, or temporarily remove any supporting documents or records that were created for the purpose of delivering the WE program and/or casino facility licensee player rewards programs (see Subsection 1.12.3).

20.2.16 Any violations of these policies must be reported immediately to the WE Call Centre at 1-833-WIN-EDGE (1-833-946-3343).

SECTION: 20. WINNER'S EDGE

20.3 WINNER'S EDGE - CONFIDENTIALITY AND PRIVACY

20.3.1 All WE member's personal information collected for the WE program will be managed in accordance with the *Freedom of Information and Protection of Privacy Act (FOIP)* and *Personal Information Privacy Act (PIPA)*.

20.3.2 WE member's personal information and related play data collected for the WE program are:

a) the property of AGLC;

b) governed by the provisions in the FOIP Act, PIPA Act, and Canadian Anti-Spam Legislation (CASL) which provisions extend to participating casino facility licensees;

c) confidential and must be protected with all reasonable precautions, means, mechanisms, policies and processes in accordance with the FOIP and PIPA Acts; and

d) to be used in accordance with the stated provisions of the WE program Personal Information Sharing Agreement or with the prior written permission of AGLC.

20.3.3 At the discretion of AGLC, WE partners may be provided access to WE data for the purpose of administering the WE program as prescribed in the WE Playbook and Personal Information Sharing Agreement. The shared WE data includes, but is not limited to:

a) identification verification;

b) addressing WE member concerns, card replacement and minor account changes;

c) supporting WE program promotions at the licensed facility;

d) administering contests and offers related to the WE program; and

e) conducting market research and for other statistical purposes to support the WE program at licensed facilities.

20.3.4 Access to WE data is limited to WE partner program staff, authorized by the casino facility licensee or AGLC, that require this access to perform specific WE program tasks prescribed in the WE Playbook.

20.3.5 Except as prescribed in the WE Playbook, reproducing WE data is strictly prohibited (e.g. screenshots, photos etc.).

20.3.6 With AGLC approval, WE partners may use WE data to support in-house promotions and related activities that are directly related to the WE program. This includes, but is not limited to promotions or activities that are:

a) related by theme to an AGLC corporate WE initiative;

b) available only at the participating licensed facility or those of its corporate entities;

c) concurrent with an AGLC WE promotion; and

d) in accordance with WE brand guidelines (see WE Playbook).

20.3.7 WE partners may share WE data, approved by AGLC, with external parties (e.g. mail shops, market researchers) to inform WE members about in-house promotions and related activities (see 20.3.8) at their casino facility or to solicit member opinions on matters specifically related to the WE program (e.g. market research). WE partners must ensure:

a) the confidentiality, integrity and availability of WE data is maintained by the external party being provided with this data; and

b) AGLC is informed of all external parties being provided access to WE data and the reason for the access.

20.3.8 WE partners are not permitted to use WE data for the purpose of promoting their own proprietary player rewards program or other marketing activities outside of the WE program to WE members.

20.3.9 WE partners must ensure WE data is secure and protected at all times. This includes, but is not limited to:

a) WE data must only be stored on electronic storage devices (e.g. internal and external hard drives, DVDs, USB drives) that reside within the licensed facility and are in compliance with Section 19.2; and

b) print materials containing WE data (e.g. WE member mailing lists) must be:

i) worked on in such a manner that it is secure and protected from any unauthorized viewing at all times; and

ii) stored in a locked cabinet accessible only to authorized WE partner program staff or AGLC.

20.3.10 WE member records, and any copies or extracts thereof must be deleted from all electronic storage devices or print materials destroyed (see Subsection 20.3.12) upon their expiration date as determined by AGLC.

20.3.11 WE partners must ensure before the removal/disposal (e.g. sale, repurposing or destruction) of any electronic storage device that contains or has contained WE data, the electronic storage device is erased or overwritten in such a way that no data can ever be recovered.

20.3.12 All print materials containing WE data must be destroyed using a cross cut shredding device that shreds to a minimum of 4mm or less and:

a) destruction completed internally must be completed by a minimum of two WE partner program staff; or

b) an external party may be contracted to complete the destruction of print materials containing WE data. A certificate or record of destruction must be provided from the destruction company signed by both casino personnel and the destruction company.

20.3.13 A disposal log must be kept of all electronic devices and print materials that contain or may have contained WE data being disposed of. The disposal log must include the following:

a) date of disposal;

b) description of the item(s) (e.g. mailing list, computer) being disposed of (if applicable provide model and serial numbers);

c) method of disposal; and

d) name and signatures of WE partner program staff carrying out the disposal.

SECTION: 20. WINNER'S EDGE

20.3.14 Disposal logs and certificates/records of destruction must be retained for six years from the date of the WE partner's annual reporting period and made available to AGLC upon request.

20.3.15 Access to, or use of, WE data in contravention of AGLC policies, Personal Information Sharing Agreement, or the WE Playbook may result in administrative sanctions being imposed by the Board of AGLC (see Section 12.5).

20.3.16 In the event of a privacy breach occurring (i.e. the unauthorized access, collection, use, disclosure or destruction of WE member's personal information), the casino facility licensee must immediately report the incident to AGLC prior to undertaking any resolution.

SECTION: 20. WINNER'S EDGE

20.4 WINNER'S EDGE - FACILITY AND MATERIAL REQUIREMENTS

20.4.1 WE partners must provide adequate floor space, as agreed to by AGLC, to support the WE program (e.g. guest service area, kiosks, storage, and in-house WE promotional events).

20.4.2 WE partners agree to provide full service WE guest service area(s) to accommodate WE member enrollment and authentication, account corrections, WE member inquiries, dispute resolution, other customer service inquiries and awarding of merchandise and promotional goods.

20.4.3 The WE guest service area(s) must be of a size and in a location agreeable to AGLC and must:

a) be public facing, easily accessible, and have high patron traffic;

b) provide accessible counter space dedicated to supporting player enrollment and inquiries related to the WE Program. Counter space size requirements are defined in the WE Playbook;

c) meet power requirements sufficient to operate all WE supplied hardware and peripherals outlined in the WE Playbook;

d) be staffed by trained WE guest service staff or Super-user(s) during casino operating hours (see Subsection 20.5.2);

e) have access to phone support and Wi-Fi within the vicinity of the WE terminal; and

f) prominently display WE program approved signage and supporting program materials (e.g. brochures, promotional items).

20.4.4 Unless otherwise agreed to by AGLC, the WE partner will be responsible for all expenses incurred for the installation, staffing and operation of the WE guest service area(s).

20.4.5 AGLC will determine the quantity and placement of WE kiosks within the casino facility. The WE partner must provide adequate power, wiring and a minimum of 25 square feet of space to accommodate each of the required kiosks (see WE Playbook).

20.4.6 WE partners must provide secure onsite storage spaces, as agreed to by AGLC, for all WE program member card stock, printer ink and other supplies, promotional materials, surplus signage and print materials

and will ensure these items are kept secure and dry at all times (see WE Playbook).

20.4.7 WE partners planning to undertake renovations or structural changes that may alter previously approved WE dedicated floor space(s) or supplied hardware must contact AGLC and present plans of the proposed changes. WE partners must obtain written AGLC approval prior to commencing the renovation or structural changes (see Subsection 4.1.6).

20.4.8 WE partners must ensure the supplied hardware and peripherals provided for the WE program are functioning at all times and being maintained in accordance with the WE Playbook. This includes, but is not limited to:

a) self-service kiosk(s) with allocation and placement determined by AGLC;

b) computer hardware and printers;

c) ID/card scanners; and

d) any other supplied hardware or peripherals identified in the WE Playbook.

20.4.9 WE partners must immediately report any WE program supplied hardware, peripherals or software malfunctions to the WE Call Centre at 1-833-WIN-EDGE (1-833-946-3343).

20.4.10 WE partners must monitor WE program material and merchandise inventory and reorder replacement inventory from AGLC (see WE Playbook).

SECTION: 20. WINNER'S EDGE

20.5 WINNER'S EDGE - STAFF AND TRAINING REQUIREMENTS

20.5.1 WE partners must provide adequate WE partner program staff levels to ensure responsive service levels are maintained onsite and available to casino patrons as outlined in the WE Playbook.

20.5.2 WE partners must ensure that all full-time and part-time WE partner program staff complete the mandatory WE program training, provided by AGLC, prior to commencing their assigned duties.

20.5.3 WE partners must keep a log of all staff who have successfully completed the WE program training requirements, including the following information:

a) date of training;

b) staff's name and registration number; and

c) WE program position(s) they will perform.

Note: Logs are subject to review by AGLC.

SECTION: 20. WINNER'S EDGE

20.6 WINNER'S EDGE - ADVERTISING AND PROMOTION

20.6.1 In addition to the requirements in this section, WE program advertising and promotional activities must be in compliance with Sections 1.15 and 1.16.

20.6.2 WE partners must support all WE program member benefits (e.g. a 10 per cent discount on at least one menu item).

20.6.3 WE partners must display and refresh, as required, all WE program signage, and brand materials identified within the WE Playbook in an agreed upon location within the licensed facility.

20.6.4 WE partners must provide support to all WE promotional campaigns, including, but not limited to:

a) providing floor space for WE promotional activities, as required;

b) displaying all campaign promotional materials;

c) briefing all patron facing casino staff on upcoming promotional campaigns;

d) awarding promotional campaign prizes as required; and

e) responding to casino patron inquiries regarding the WE program and its promotions.

20.6.5 WE Partners are not permitted to:

a) 'top up', augment, enhance or discount the terms of any AGLC WE promotion;

b) reward any WE member for a given promotion unless specifically requested by AGLC;

c) contact WE members to provide information or solicit their participation in casino promotions and other activities not related to the WE program; and

d) solicit the disclosure of any WE member's account details for the purpose of sales, marketing or promotions.

20.6.6 WE partners must comply with AGLC, WE and GameSense brand guidelines (e.g. logo usage, colour schemes etc.) when promoting the WE program.

SECTION: 20. WINNER'S EDGE

20.6.7 WE partners must ensure patrons registered in AGLC's Self Exclusion (SE) program or banned from entering a casino/REC licensed facility are excluded from receiving any WE or casino player rewards program promotional mailings or participating in any other promotion offered by the casino facility licensee or WE program while the patron has SE or banned status (see Section 1.8 and 1.26).

20.6.8 With prior AGLC approval, WE partners may advertise and develop promotional materials to support the WE program and WE promotional campaigns at their facilities.