



Casino Terms & Conditions and Operating Guidelines

aglc.ca

CASINO TERMS & CONDITIONS AND OPERATING GUIDELINES

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SECTION: 1. INTERPRETATION**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.
- 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.
- 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.
- 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.
- 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.
- j) “Casino retailer” means the casino facility licensee.
- 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.

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- l) “Charitable Gaming Policies Handbook” means AGLC’s set of policies 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
- 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.
- 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-LINKTM (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.
- 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.
- 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

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- management or delivery of a gaming activity or a facility licensee in the operation of a licensed facility.
- u) “Gaming supplier” means any person who makes, sells, advertises or distributes gaming supplies.
 - 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.
 - 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.
 - 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.
 - dd) “Registered gaming worker” means a person registered with AGLC to perform the function(s) specified in their registration.

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- ee) “Retailer agreement” means the Electronic Games - Casino Retailer Agreement and includes any schedules as amended from time to time.
- ff) “Regulatory division” means the Regulatory division of AGLC.
- gg) “SDS” means Slot Data System.
- 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.
- ii) “Slot manager” means the registered gaming worker having the overall responsibility of operating gaming terminals.
- 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.
- kk) “Table game progressive jackpot” means a prize structure that can be offered in conjunction with a table game, where a participating player(s) has a chance of winning a portion of the jackpot if the qualifying criteria is achieved. The progressive jackpot can be accumulated by withholding funds from a gaming activity (for manual progressive jackpots) or through direct wagers (for electronic progressive jackpots).
- ll) “TITO” means ticket in ticket out and refers to a barcoded paper ticket issued by a slot machine.
- mm) “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.
- nn) “Volunteer” means an individual who works without remuneration at a casino event for a licensed charity.
- oo) “Wi-Fi” or “wireless fidelity” is a term describing certain types of wireless networks.

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- pp) “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.
- qq) “Wireless camera” means a surveillance camera used as a video recording device that transmits signals wirelessly.

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SECTION: 2. REGULATORY OVERSIGHT

2.1 LEGISLATION OVERVIEW

- 2.1.1 Casino events, facility licensees, licensed charities, registered gaming workers, registered gaming suppliers, registered gaming worker suppliers and gaming service providers must operate 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 and all federal, provincial and municipal laws.
- 2.1.2 All references in this handbook to “terms & conditions” or “operating guidelines” are considered to be references to Board policies.
- 2.1.3 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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SECTION: 2. REGULATORY OVERSIGHT**2.2 ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION (AGLC)**

2.2.1 The CTCOG, the *Gaming Liquor and Cannabis Act* and Gaming, Liquor and Cannabis Regulation are available at aglc.ca.

2.2.2 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.

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

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SECTION: 2. REGULATORY OVERSIGHT**2.3 LICENSEE AND REGISTERED GAMING WORKER RESPONSIBILITIES****2.3.1** 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.

2.3.2 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.

2.3.3 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*.**2.3.4** 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*.DATE ISSUED: February 1, 2024AUTHORITY: Original signed by
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2.4 OBJECTIONS – LICENCE OR REGISTRATION APPLICATION

(Amended Mar 2024)

New Casino Facility or Relocation of an Existing Casino Facility

- 2.4.1 A facility licence is only valid for the location for which it has been issued.
- 2.4.2 AGLC will notify existing licensees and will post a notification of Applications for new gaming facilities and relocations of existing licensed gaming facilities allowed to move forward in the approval process from the initial assessment on its website at aglc.ca.
- 2.4.3 The following information will be posted on AGLC’s website:
- 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/or proposed facilities;
 - d) estimated timeline for the facility opening;
 - e) licence(s) applied for;
 - f) the date that a written objection must be received by AGLC; and
 - g) brief description of the Application (containing information such as number of slot machines and table games).
- 2.4.4 AGLC may not consider an objection based on community image, property values, social or moral concerns (as they are considered the responsibility of the municipality).
- 2.4.5 All objections must be submitted in writing and received by AGLC within 30 business 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.
- 2.4.6 The Applicant will receive a summary in writing of all objections received.
- 2.4.7 The Applicant will be given 21 business days from the date of notification to respond in writing to the objection; an extension may

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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.

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

2.4.9 If no objections to the issue of a licence are received within the 30 business days, AGLC will continue with the licensing process.

Registrations

2.4.10 If any written objection to an Application for a 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 registration will be given 21 business 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 considered by AGLC. Should an objection to the issue of a registration be received by AGLC without sufficient time to consider the objection, a new registration may be issued and the objection will be considered by AGLC at the earliest possible date.

Objections Received Past Specified Deadlines

2.4.11 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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2.5 LEGISLATIVE AND POLICY COMPLIANCE

2.5.1 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.

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

2.5.3 A casino facility licence may be suspended or cancelled if the licensee fails to comply with the requirements of Subsection 2.5.1

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SECTION: 2. REGULATORY OVERSIGHT**2.6 BACKGROUND CHECKS**

- 2.6.1 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 4.6.2.
- 2.6.2 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.
- 2.6.3 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:
- 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;
 - 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.
- 2.6.4 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;

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- 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.
- 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.

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- 2.6.5 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.
- 2.6.6 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.
- 2.6.7 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*).
- 2.6.8 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.
- 2.6.9 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.

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2.6.10 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:

- a) 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) b) would be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries;
- c) c) is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta;
- d) d) has, within the five years prior to the submission of the application contravened:
 - i) the *Gaming, Liquor and Cannabis Act* or the Gaming, Liquor and Cannabis Regulation;
 - ii) a predecessor of the Act or the Regulation; or
 - iii) a condition imposed on a licence or registration issued or made under the Act or a predecessor of the *Gaming, Liquor and Cannabis Act*.
- e) fails to pass a records check as outlined in section 10 of the Gaming, Liquor and Cannabis Regulation; or
- f) has, within five years prior to the submission of the application:
 - i) had 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 or suspended by the issuing authority; or
 - ii) ii) been refused a foreign licence or registration.

2.6.11 Notwithstanding Subsections 2.6.1 through 2.6.10, AGLC may refuse to allow an applicant to have a casino facility licence.

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SECTION: 2. REGULATORY OVERSIGHT**2.7 CONTROL OF CASINOS**

- 2.7.1 No person, affiliated group of persons or a company will be allowed to control the casino industry in Alberta.
- 2.7.2 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.

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SECTION: 2. REGULATORY OVERSIGHT**2.8 ENFORCEMENT**

- 2.8.1 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.
- 2.8.2 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.
- 2.8.3 An inspector will prepare an Incident Report setting out the details of an alleged violation(s) and all Incident Reports must be dated when the investigation is finalized.
- 2.8.4 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.
- 2.8.5 The Vice President may refer an Incident Report to the Board for review and decision where circumstances warrant.
- 2.8.6 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).
- 2.8.7 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:
- 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

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e) any other sanctions determined by the Board.

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SECTION: 3. RESPONSIBLE SERVICE**3.1 MINORS**

- 3.1.1 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.
- 3.1.2 A casino facility licensee must not employ minors in the casino facility when a casino is being conducted.
- 3.1.3 A licensed charity must not use minors as volunteers for a casino.
- 3.1.4 Casino facility licensee staff are required to obtain valid government issued photo 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 and must not allow the person to remain within the facility.
- 3.1.5 A casino facility licensee shall not permit individuals under 18 years of age to enter or remain in the casino facility.

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SECTION: 3. RESPONSIBLE SERVICE**3.2 ABANDONED OR UNATTENDED CHILDREN**

- 3.2.1 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 5.6.3 a)).

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SECTION: 3. RESPONSIBLE SERVICE**3.3 PLAYER INFLUENCE AND ENDORSEMENTS**

3.3.1 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.

3.3.2 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 registered gaming workers in their assigned areas.

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SECTION: 3. RESPONSIBLE SERVICE**3.4 EXTENDING CREDIT**

3.4.1 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.

In exception to the above, a casino facility licensee may accept a cheque that is:

- a) 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 8.13), and is made payable to the bearer; or
- b) a cash call cheque.

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SECTION: 3. RESPONSIBLE SERVICE**3.5 BANNED ENTRY (ACCESS MANAGEMENT)**

- 3.5.1 Casino facility licensees must ensure all registered gaming workers, employees and agents of the casino are aware of patrons who have been banned.
- 3.5.2 Casino facility licensees must have policies and procedures for registered gaming workers, employees and agents to deal with banned or self-excluded individuals attempting to enter or are found in the casino facility.
- 3.5.3 Discrepancy Reports (see Section 5.6) must be submitted to AGLC within 72 hours on all banned patrons who attempt to enter or are found in a casino facility.
- 3.5.4 A casino facility licensee shall not permit banned or self-excluded individuals to enter or remain in the casino facility.

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3.6 SELF-EXCLUSION PROGRAM

- 3.6.1 Casino facility licensees must have Self-Exclusion (SE) agreements available for anyone wishing to participate in the SE program. A sample form is available on AGLC's Self-Exclusion webpage at aglc.ca/gaming/self-exclusion.
- 3.6.2 Enrolment into the SE program must be completed in accordance with the procedures outlined in AGLC's SE Program Manual.
- 3.6.3 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:
- 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.
- 3.6.4 The casino facility licensee must exclude the SE individual from all casino loyalty program mailings and/or receiving/participating in other promotions offered by the licensee while the individual is an active SE program participant.
- 3.6.5 The casino facility licensee is responsible for ensuring that surveillance/monitor room personnel, as well as all Deal Us In Phase Two certified staff have access to all current SE bulletins.
- 3.6.6 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.
- 3.6.7 The facility licensee will notify AGLC within 24 hours, of all program breaches by completing an AGLC SE Re-Entry Report as per the instructions outlined in the Detection & Enforcement section of AGLC's SE Program Manual.

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3.7 PRIZE DISENTITLEMENT

3.7.1 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).

3.7.2 In this section, prohibited person(s) means any person referred to in Subsection 3.7.1.

3.7.3 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.

3.7.4 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;

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- 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 5.6) to AGLC within 24 hours for any incident involving withholding the awarding of prizes.

3.7.5 Following Subsection 3.7.4, where a person is confirmed to be a prohibited person, AGLC will direct that prizes be withheld in accordance with Subsection 3.7.1 be returned to the prize pool.

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.1 GENERAL**

4.1.1 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 11 – Registered Gaming Worker Requirements;
- c) that registered gaming workers conduct all games in accordance with the casino facility licensee’s rules of play and Section 6 of the CTCOG; and
- d) any conditions placed on a patron in accordance with Section 8 are adhered to.

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.2 BASIC FACILITY REQUIREMENTS**

4.2.1 Each casino facility must have the following areas with the size(s), dimensions, and location(s) deemed functional by AGLC:

- a) volunteer lounge (at casino facilities requiring volunteer staff);
- b) GameSense Information Centre (minimum size – 120 square feet). AGLC is responsible for installation, staffing and operation of these centres;
- c) AGLC technician/communications equipment room* (minimum size – 150 square feet);
- d) volunteer cash cage* (minimum size – 300 square feet) and adjacent count room* (minimum size – 300 square feet);
- e) slot cash cage*;
- f) slot count room*;

Note: The volunteer count room may be combined with the slot count room (minimum size – 550 square feet) this area is considered to be a restricted non-gaming area as outlined in the CTCOG. When the count and slot rooms are combined in a casino facility with 16 or more tables, two separate designated work surfaces are required).

- g) AGLC server room*;
- h) card/chip storage room(s)*;
- i) security operations and equipment*;
- j) monitor room* (see Section 5.4 regarding off-site monitor rooms); and
- k) secure viewing room to review surveillance footage, independent of the monitor room*.

* These areas are considered restricted non-gaming areas and only accessible to authorized personnel, charity workers and/or volunteers (see Section 4.7 for additional information on restricted areas and access provisions).

Note: AGLC may require the casino facility licensee to modify plans to accommodate a specific area prior to providing approval and may

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approve areas to have less than the listed minimum sizes where AGLC has determined the identified space can be fully functional.

4.2.2 Volunteer cash cages must be equipped with:

- a) lockable chip bank, with the capacity to store all chips held in the volunteer cash cage;
- b) volunteer workstation(s), that:
 - i) provides an individual station for each volunteer assigned to the cash cage capable of accommodating the chips and cash required to perform their duties; and
 - ii) are secured using a key or other locking mechanism to only allow the assigned individual access to their workstation.
- c) a small opening (not greater than 16 inches x 16 inches) made between the volunteer cash cage and volunteer count room to facilitate money transfers;
- d) posted robbery and counterfeit money procedures;
- e) an area for the banker with a raised divider to allow for cash to be counted out of public sight;
- f) a physical barrier installed at the cash-out window to prevent unauthorized access to the cash cage. The barrier must be made of a material that allows video surveillance to have an unobstructed and undistorted view of patrons and transactions; and
- g) a curtain or blind that can be drawn across the front of the cash cage when it is not in operation. The installation of the curtain or blind must be inside of the cash cage and be made of material dense enough to ensure activities occurring in the cash cage cannot be observed from the public areas of the facility.

4.2.3 Volunteer count rooms must be equipped with:

- a) a count table, that:
 - i) is a minimum size of 4 feet by 10 feet;
 - ii) has a transparent tabletop; and

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iii) must be in good repair at all times or replaced by the casino facility licensee at the request of AGLC.

b) a safe with specifications that meet minimum insurable standards.

Note: The safe may be located in the volunteer cash cage.

4.2.4 Access to the AGLC server room, surveillance room, monitor room(s), cash cage(s) and count room(s) must be through a secured area, consisting at minimum two doors separated by a hallway and must include the following:

a) both doors must always remain shut and locked except when providing access to authorized personnel;

b) the doors accessing these areas must be:

i) constructed with a steel frame or material of equivalent strength approved by AGLC; and

ii) able to be locked to prevent outside access when required (e.g., count room operations).

c) volunteer cash cage and count room must not be located against exterior walls of the casino facility or, alternatively, the exterior walls must be reinforced in a manner approved by AGLC.

4.2.5 Each casino facility must have a ceiling height of at least 14 feet in areas where gaming activities are being conducted. Poker room canopies, feature ceilings or areas aimed at creating atmosphere and transition must have a ceiling height of at least 11 feet.

4.2.6 Each casino facility must have floor to ceiling common and exterior walls.

4.2.7 The casino facility licensee is responsible for ensuring both registered gaming workers and the licensed charity have access to the CTCOG.

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.3 FACILITY OPERATING REQUIREMENTS**

4.3.1 The casino facility licensee 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;
- d) registered gaming workers as required in Section 11;
- e) surveillance equipment as detailed in Section 5;
- f) currency counters for both the cash cage and count room (as required);
- g) armoured car service;
- h) insurance;
- i) administrative services; and
- j) all other equipment or services deemed necessary by AGLC.

4.3.2 Each casino must provide for the following:

- a) lighting within the facility must, for the safety of patrons and staff, allow for proper viewing by security cameras during casino operating hours, including:
 - i) well-lit counter areas in the cash cage(s) with lighting providing clear natural colour of the subject matter under surveillance.
- b) cash cage windows must be clearly marked as “Cashier” or “Staff” with each cashier position identified by number observable by surveillance equipment; and
- c) an uninterrupted power supply (UPS) for surveillance equipment, lighting in the facility, monitor room equipment, and network computer in the communications equipment room (see Subsection 5.1.2 i)). The load requirement will vary based on the casino’s size and type of equipment used.

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- 4.3.3 Licensees must comply with legislation, AGLC policy and procedures pertaining to liquor:
- a) the liquor licence may be held by the casino facility licenses or the licensee of a licensed premises that has direct access to the casino facility;
 - b) liquor licensees and casino facility licensees (where different) must comply with legislation, AGLC policy and procedures pertaining to liquor as outlined in the Liquor Licensee Handbook;
 - c) liquor licensees and casino facility licensees (where different) are jointly responsible for:
 - i) not serving intoxicated patrons;
 - ii) facility licensees will not permit a person apparently intoxicated by liquor or a drug to take part in gaming activities or provincial lotteries conducted in the licensed facility; and
 - iii) ensuring no liquor possession or consumption is permitted within the gaming pit, cash cages, count rooms, volunteer areas and staff rooms.
 - d) food service must be available to patrons in accordance with the liquor licence.
- 4.3.4 A casino facility licensee must have a restaurant with table service and full menu operating during the casino facility's operating hours up to 11 p.m.
- 4.3.5 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.
- 4.3.6 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).

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.3.7 Signage requirements:**

- a) the casino facility licensee must post in a prominent location in the licensed facility the following signage:
 - i) the casino facility licence;
 - ii) the licensed charity's casino licence;
 - iii) general house rules for all games;
 - iv) house rules specific to each table game;
 - v) social responsibility messaging as provided by AGLC (e.g., GameSense, self-exclusion etc.);
 - vi) no minors allowed;
 - vii) gaming irregularities;
 - viii) surveillance messaging as provided by AGLC; and
 - ix) AML messaging as provided by AGLC, and
 - x) any other document or information that AGLC requires to be posted.
- b) each table game must have the following signage displayed at the table:
 - i) betting limits (with the exception of poker);
 - ii) notice that table limits are alterable (where applicable);
 - iii) table number (including poker), which is a minimum of 5cm in height and clearly visible to surveillance equipment at all times; and
 - iv) any additional information required for the operation of the game or outlined in policy.
- c) poker games must have the following signage displayed at the table or posted prominently in the poker room:
 - i) amount of rake for each game type;
 - ii) betting limits for each game;
 - iii) blind, ante, or bring-in requirements (facility may apply a combination of all three where posted);

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- iv) any specific house rules for a game type; and
- v) house rules regarding player seating.

4.3.8 Each casino facility licensee must maintain security of all chip inventories, including:

- a) chip inventories not in use must be kept locked and each casino facility licensee shall provide a list to AGLC of all those with access to chip inventory; and
- b) a Discrepancy Report must be used to document the removal or the addition of chips from the inventory (see Section 5.6). Signatures are required from both the casino facility licensee representatives and the general manager.

4.3.9 Each casino facility must have a written tip policy that clearly indicates:

- a) who is eligible to receive tips;
- b) how tips will be distributed;
- c) handling of funds control procedures (see 4.3.10); and
- d) the casino facility licensee's tip policy is not sanctioned by AGLC.

Note: AGLC, at its discretion, may direct a casino facility licensee to amend its tip policy if they deem it to jeopardize the integrity or lawful conduct of gaming activities or is not being administered in the manner it is intended.

4.3.10 The casino facility licensee and registered gaming workers are responsible for ensuring that control procedures are developed and adhered to for the safe and secure handling of funds (e.g., table change ups, collection and storage, etc.).

4.3.11 Tips must not:

- a) be accepted outside the gaming worker's assigned work area;
- b) be changed up to higher or lower denomination chips without a supervisor present;
- c) be kept or stored with any float or tray; and

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d) leave the pit unless the removal is performed by the tip committee as a part of their duties.

4.3.12 Tips received in the form of chips must be redeemed at the volunteer cash cage by the designated tip committee, witnessed by the general manager or banker.

Note: The advisor may use a money counting machine to facilitate this transaction provided that the money counting machine can be viewed by a surveillance camera during the transaction.

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

4.3.14 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.

Note: Security staff uniforms must be distinct from other registered gaming worker uniforms and clearly labeled security staff.

4.3.15 Casinos may operate seven days per week, as follows:

a) casino table games to a maximum of 17 consecutive hours, commencing no earlier than 10 a.m., and ending no later than 3 a.m.;

b) gaming terminals:

i) slot machines (including electronic table games) up to 24 hours per day, 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; and

ii) video lottery terminals (VLTs) only during the hours the location is open to the public and the Class A Minors Prohibited licence is in effect.

c) casino poker rooms up to 24 hours per day provided the conditions in Subsection 6.4.15 c) are met.

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4.3.16 Casinos may remain open Christmas Day. Casino facility licensees may opt to operate:

- a) table games and gaming terminals; or
- b) gaming terminals only, no casino event licence is required.

4.3.17 The casino facility licensee must:

- 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.

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.4 EMERGENCY PLAN**

4.4.1 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.

4.4.2 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.

4.4.3 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.

4.4.4 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.

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.5 GENERAL LICENSING REQUIREMENTS**

4.5.1 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.

4.5.2 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 *Income Tax Act* (Canada);
- e) 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;
- 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).

4.5.3 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 4.5.2. 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.

4.5.4 A casino facility licensee must notify AGLC immediately if there is a change among any of the licensee's executive or key employees at the licensed casino facility as defined in Subsection 2.6.3.

4.5.5 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.

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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.

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

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4.6 GAMING SUPPLIERS AND GAMING SERVICE PROVIDERS

4.6.1 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:
 - 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:
 - i) assisting with managing events such as poker tournaments;
 - ii) background checks;
 - iii) ATMs; or
 - iv) payment processing services.

4.6.2 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.

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SECTION: 4. CASINO FACILITY LICENSEE REQUIREMENTS**4.7 CASINO SECURITY ACCESS PROVISIONS**

4.7.1 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.

Restricted areas include, but are not limited to the: *(Amended June 2024)*

- a) monitor room;
- b) volunteer cash cage and count room;
- c) games pit areas; and
- d) AGLC server rooms and secondary network closets.

4.7.2 In accordance with the Access Provision Table (see Attachment 4.7), authorized individuals are only permitted access to restricted areas within the casino facility to perform duties necessary to meet their specific job requirements. *(Amended June 2024)*

4.7.3 Further to 4.7.2, casino facility licensees may only provide access to restricted areas subject to the following additional conditions: *(Amended June 2024)*

- a) non-registered workers and external parties specified in the Access Provisions Table must be accompanied by a registered gaming worker authorized to access the restricted area;
- b) Access logs must be maintained to record all authorized:
 - i) Individuals accessing the monitor room; and
 - ii) non-registered gaming workers and external parties accessing any restricted area (see Subsection 4.7.4 for log requirements; and
- c) All individuals accessing any restricted area must adhere to the CTCOG in the conduct of their duties.

Note: Non-registered workers must review surveillance footage in a secure location outside the monitor room (see Section 4.2.1 9k)).

4.7.4 The access log must: *(Amended June 2024)*

- a) be completed upon entry by security staff;
- b) include the name of the escort, individual's name, company (if applicable), date, entry and exit times, reason for access, and the individual's signature;
- c) be retained for a minimum of two years; and

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d) be readily available to AGLC upon request.

4.7.5 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.

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LICENSED CASINO FACILITY – ACCESS PROVISIONS TABLE

ATTACHMENT 4.7

(Amended June 2024)

	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			X	X
Casino Manager/Acting Casino Manager	X	X	X	X	X
Director/Manager Security	X	X	X	X	X
Security Guards	X	X	X	X	X
Surveillance Manager	X				
Monitor Room Personnel	X				
Games Manager	X	X	X	X	X
Casino Facility Operator Representative		X	X		
Pit Supervisor	X			X	
Pit Boss	X			X	
Dealer				X	
Anti-Money Laundering (AML) Manager or equivalent	X	X		X	
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		
Cash Cage Advisor		X	X		
Count Room Advisor			X		
Non-Registered Workers and External Parties					
Police Officers	X	X	X	X	
Other casino employees (e.g. cleaners, maintenance personnel)					
Registered Gaming Suppliers/Gaming Terminal Dealers	X	X	X	X	X
Other External Parties (e.g., auditors, contractors)	X	X	X	X	X
Other persons when authorized in writing by designated staff within AGLC's Regulatory Services	Access as per written approval letter.				

SECTION: 5. SECURITY REQUIREMENTS**5.1 CASINO PREMISES – GENERAL**

5.1.1 Casino facility licensees must develop and maintain an internal security and surveillance strategy that aligns with current industry best practices. The strategy must not contravene AGLC policies.

Note: AGLC may consider security/surveillance standards that exceed its operational and regulatory requirements; for which prior AGLC approval is required.

5.1.2 Each licensed casino facility must:

- a) have a secure monitor room with restricted access that cannot be viewed by the public (see Section 5.4 regarding the optional off-site monitor room).
- b) 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 6.2.5);
- c) have telephones as well as internally and externally monitored alarm systems in each of the following areas:
 - 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.
- d) have a clearly audible robbery alarm within the monitor room;
- e) have all alarms with a direct feed into the monitor room (applies to major casinos only);
- f) have height markers installed at all exterior access ways, secure areas and high-risk areas, as determined by AGLC;

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SECTION: 5. SECURITY REQUIREMENTS

- g) have all exit doors alarmed and, with the exception of the main entrance, all exit doors must be steel with steel frames;
- h) have a secure storage area for chip inventory, playing cards and dice. The area must be monitored, at all times, with a dedicated Pan/Tilt/Zoom (PTZ) camera; and
- i) have an uninterrupted power supply (UPS), that provides adequate lighting to enable basic customer service to continue and allow for surveillance system 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 camera;
 - 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 camera, a currency counter and the Casino Track computer;
 - iii) count room (table games): requires emergency lighting, two currency counters, the Casino Track computer; and two dedicated cameras, one of which must be a PTZ 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 camera;
 - 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;
 - vi) slot bank: requires emergency lighting, electronic currency counter and two dedicated cameras, one of which must be PTZ camera; and
 - vii) monitor room: requires emergency lighting and the surveillance system.

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- 5.1.3 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.).

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SECTION: 5. SECURITY REQUIREMENTS**5.2 CURRENCY COUNTER PATRON CASH-OUT**

5.2.1 Casino facility licensees may, at their own discretion and responsibility, conduct patron cash-outs using a currency counter (see Subsection 11.5.10 e) vi) having the following features:

- a) counterfeit and denomination detection; and
- b) a display with a clear unobstructed view of the currency counter numbers by the patron, cashier and dedicated surveillance system camera(s).

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SECTION: 5. SECURITY REQUIREMENTS**5.3 SURVEILLANCE SYSTEM CAMERA COVERAGE AND MONITORING**

5.3.1 The casino facility licensee must provide a surveillance system that includes but is not limited to (see Section 5.4 regarding the optional off-site monitor room):

- a) a floor plan of each premises describing and showing the placement of all surveillance equipment (all cameras must be linked to the surveillance room). Other links within the casino facility can only be made to a secure area with AGLC approval;
- b) all equipment must be maintained and be in proper working order. AGLC must be notified if surveillance system coverage falls below the minimum standards of the CTCOG;
- c) all cameras must be linked to video recorders and be recorded in real time [30 images per second] with date and time generation. AGLC may approve designated cameras with a resolution of 1080P or greater be set to record at 20 images per second. Digital recording units must meet the following minimum standards:
 - i) the digital video recording device (DVRD) must record at the number of images per second approved for each camera with a minimum pixel image common interchange format (CIF) recording;
 - ii) the DVRD may house a built-in security data container (SDC) or utilize external storage devices or secured cloud storage services;
 - iii) the DVRD must archive recorded data to a CD, DVD, flash drive or a secured cloud storage service (see Section 12.2) 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;
 - iv) 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 5.1.2i) i) to vii));

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- v) cameras linked to a DVRD must have a minimum of 480 lines of resolution; and
 - vi) non-gaming or back of the house areas may be recorded with motion sensitive activation at a minimum of 15 images per second.
 - d) surveillance system cameras must be positioned to complement each other and provide clear identification of all facets for the activity they are dedicated to monitor (e.g., patrons, pit staff, cash/chip values, game number, playing card value (pips), slot terminals etc.).
- 5.3.2 Each pit, gaming terminal area and poker room must provide camera coverage as required by AGLC. The cameras providing such coverage must be a Pan/Tilt/Zoom (PTZ) camera. These must be installed to provide coverage of all table games and gaming terminals.
- a) High limit games, games (with a maximum limit or aggregate wager of \$500 or more) and games with progressive jackpots 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 camera as required.
 - b) Each craps table must be viewed by a dedicated PTZ camera from both ends of the table.
 - 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 camera.
 - d) A double layout hand held baccarat table must be viewed by a minimum of:
 - i) two dedicated stationary cameras that provide an overall view of the playing surface at all times; and
 - ii) two PTZ cameras as required.
 - 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

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- ii) a PTZ camera as required.
 - 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 camera.
 - 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 camera.
 - h) All other gaming terminals must be viewed by a PTZ camera.
 - i) Cameras must be strategically placed so that there are no blind spots in the gaming terminal area.
 - 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.
- 5.3.3 A dedicated camera must be installed so there is complete, full-time coverage of each entry/exit (not required for “emergency only” exits).
- 5.3.4 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
 - b) cabling (minimum CAT 5) connected to a surveillance system, and linked to video recorders, as specified in Subsection 5.3.1 d), must be provided. AGLC will install the camera on top of each TRK.
- 5.3.5 Dedicated fulltime surveillance coverage of all external doorways and any window areas that must capture clear identifiable footage of all persons entering and exiting server rooms.
- 5.3.6 Each volunteer or slot cash cage and/or count room, including poker/craps cash cages must have a PTZ) camera(s) installed to provide complete coverage of all areas within each room.

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- 5.3.7 Live monitoring by registered monitor room personnel must be in effect:
- a) during operating hours in casino facilities having 16 table games or more;
 - b) during operating hours on Thursdays, Fridays, Saturdays and the night prior to a statutory holiday in casino facilities having 15 table games or less with 350 or more slot machines; and
 - c) when high limit games (with a maximum limit or aggregate wager of \$500 or more) are offered in casino facilities with 15 table games or less and 349 or less slot machines. (The games manager may delegate the responsibility of who will conduct the live monitoring to a registered worker that may access the monitor room, see Section 4.7).

Note: Additional hours of live monitoring may be required based upon gaming activity.

- 5.3.8 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 the night prior to a statutory holiday from 7 pm to 3 am, or until all monies are secure and all casino staff and volunteers have exited the casino.
- 5.3.9 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 a.m. to 10 a.m.).
- 5.3.10 All surveillance recordings (excluding back of house) 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.
- 5.3.11 The monitor room must have the override capability and control of all cameras at a casino facility including the security department monitors.

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- 5.3.12 The monitor room must maintain radio communications with the casino facility's security personnel (see Section 5.4 regarding the optional off-site monitor room).
- 5.3.13 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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SECTION: 5. SECURITY REQUIREMENTS**5.4 OFF-SITE MONITOR ROOM**

5.4.1 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 Subsection 5.1.1); and
- c) a business continuity plan in the event of a disruption or failure affecting the operational ability of the off-site monitoring room.

5.4.2 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. All areas of the licensed facility which are governed by the facility licence are subject to AGLC policy.

5.4.3 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 surveillance 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 surveillance 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.

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- 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) fiber 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 4.7;
 - vii) casino access provisions for AGLC as specified in CTCOG Section 2.3 applies to the off-site monitor room; and
 - viii) 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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SECTION: 5. SECURITY REQUIREMENTS**5.5 ILLEGAL OR SUSPECTED ILLEGAL ACTIVITIES**

- 5.5.1 It is a condition of both the registration and licensing that the casino facility licensees, registered gaming workers, and other casino employees immediately report illegal or suspected illegal activities (e.g., cheat at play, money laundering, counterfeit money, theft etc.) to AGLC Investigations Branch.
- 5.5.2 In a situation where there is clear and present danger to casino staff, property or patrons, immediately contact the law enforcement agency of jurisdiction.
- 5.5.3 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.
- 5.5.4 Casino facility licensees will facilitate the participation of all staff they employ to assist with any AGLC or police investigation. This includes:
- a) immediately reporting to AGLC Customer Care (1-800-561-4415) any and all suspicious activity, evidence of cheating at play, theft, or other suspected criminal offences;
 - b) contacting AGLC or police prior to conducting an internal investigation which may involve criminal activity;
 - c) immediately securing any materials which could potentially be used as evidence (e.g., playing cards, marking instruments, surveillance video) and keeping the material secure until handed over to an AGLC Inspector or police officer.

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- 5.5.5 Casino facility licensees are required to develop their own security plans and procedures on how to handle suspected criminal activity in accordance with these policies (e.g., counterfeit handling procedures) and must include:
- a) 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., 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 Investigations Branch at sftp.aglc.ca and notify investigators.mailbox@aglc.ca.
 - b) 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) the names of any persons witnessing the incident or having contact with the suspect(s).

SECTION: 5. SECURITY REQUIREMENTS**5.6 DISCREPANCY REPORT**

5.6.1 For any incident described in the CTCOG that requires a discrepancy report, a separate report must be completed and submitted to AGLC:

- a) by any registered gaming worker who was a part of, or a witness to procedures inconsistent with or in violation of the CTCOG (including criminal and suspected criminal activity); or
- b) by the licensed charity, completed by the volunteer(s) who was a part of, or a witness to procedures inconsistent with or in violation of the CTCOG.

Note: With the exception of the provisions in Section 5.5 or as identified otherwise in the CTCOG, all discrepancy reports must be submitted within 24 hours of a registered gaming worker or licensed charity becoming aware of an incident or suspected incident requiring the completion of a discrepancy report.

5.6.2 Discrepancy reports can be submitted to AGLC by:

- a) electronic transmission through the CasinoTrack system (advisor terminal);
- b) email to:
 - inspectionsgaming@aglc.ca for procedural matters, or
 - investigators.mailbox@aglc.ca for suspected illegal or illegal activities; or
- c) fax to:
 - (780) 447-8912 – For all facilities located in or north of Red Deer, or
 - (403) 292-7302 – For all facilities located south of Red Deer.

5.6.3 Discrepancy report forms are available at aglc.ca:

- a) Discrepancy Report (form 5425) – for all non-electronic gaming discrepancies; and
- b) Gaming Discrepancy Report Electronic Devices (form 6619) – for all electronic gaming device discrepancies.

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SECTION: 6. TABLE GAME OPERATIONS**6.1 RULES OF PLAY**

6.1.1 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.

6.1.2 The casino facility licensees must ensure its rules of play 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.

6.1.3 Casino facility licensees must have documented rules of play available for AGLC or casino patron’s review upon request.

6.1.4 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.

6.1.5 AGLC, at its discretion, may direct a casino facility licensee to amend its rules of play if it deems a rule jeopardizes the integrity of a casino

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game or prevents the game from being conducted in alignment with its intended manner.

6.1.6 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.

6.1.7 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; and
- 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.

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SECTION: 6. TABLE GAME OPERATIONS**6.2 GAME FLOOR SETUP**

- 6.2.1 Pits must be set up in such a way that access to the pits is controlled so members of the public cannot access the game from the dealing position (except for Craps in regards to the Stickmen's position).
- 6.2.2 Prior written AGLC approval is required for amendments to the games mix.
- 6.2.3 All gaming supplies required for table operations must be purchased from a registered gaming supplier and requires written approval from AGLC prior to use.
- 6.2.4 AGLC, at its sole discretion, will determine whether to approve or refuse approval of a gaming supply. AGLC may request design changes required for the approval of a gaming supply in order to ensure it does not pose integrity risks (e.g., oversized high value chip, colouration that could prevent surveillance identification, etc.).
- 6.2.5 The casino facility licensee and registered gaming workers must ensure all gaming supplies and drop boxes are in good condition and repair at all times and replace/repair the equipment when an issue has been identified (e.g., worn cards). Gaming supplies or drop boxes identified as defective must not be used for gaming activities.
- 6.2.6 Gaming supplies and drop boxes are subject to quality control performed by AGLC. Defective gaming supplies or drop boxes will be replaced/repared when requested.
- 6.2.7 Gaming supplies in the pit(s) must be secured or in the direct care of a registered gaming worker at all times. Larger supplies (e.g., shuffle machines, roulette wheels, etc.) and supplies affixed to tables may be secured through surveillance coverage. This includes:
- a) the casino facility licensee, games manager(s) and/or pit supervisor(s) are responsible to ensure this security of gaming supplies at all times; and
 - b) registered gaming workers in direct care of gaming supplies are responsible for the security of these supplies.

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6.3 EQUIPMENT REQUIREMENTS

6.3.1 Casino chips must be:

- a) unique to each facility and identify the casino facility licensee;
- b) monogrammed accordingly and be a different colour for different denominations; and
- c) added to the facility reserve through CasinoTrack prior to use with an AGLC inspector present (except for poker chips identified in option 2 & 3 (Subsection 6.4.15 b) & c)) and chips that hold no value (e.g., Roulette chips).

6.3.2 AGLC may identify and require security features for chips of large denominations prior to providing approval (e.g., oversized, UV markings, microprint, etc.).

Note: Casino facility licensees may, to AGLC's satisfaction, provide alternative recommendations to meet any identified security requirements.

6.3.3 Cards must:

- a) have a distinct backing that identifies the casino facility licensee or brand. Cards used in the poker room may use standard backs, a casino logo is recommended;
- b) for games where players may handle the cards or with a progressive feature, have different coloured backing than cards used on other games;
- c) be free of defects while in use;
- d) be checked by a registered gaming worker prior to use to ensure all cards are accounted for and free of defects (see Subsection 6.2.5). AGLC may approve the casino facility licensee to use an electronic device (gaming supply) to conduct the verification of cards; and
- e) be accounted for within a reasonable period of time after use and prior to being removed from the pit(s) for destruction/defacement.

Note: Defaced cards may be sold or provided to members of the public after use.

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6.3.4 Cards of similar/identical design and colour(s) to the facility's active stock must not be sold or in any way be released to the public before they are defaced.

6.3.5 Table layouts must:

- a) clearly identify the betting areas for all available wagers. The casino facility licensee may identify to AGLC a designated area in relation to a player's square to allow for tips to be wagered for the dealer; and
- b) have all equipment installed to ensure the security of gaming supplies while the game is in operation (e.g., card discard rack).

6.3.6 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 a 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).

6.3.7 The casino facility licensee must provide lockable drop boxes to secure cash used for change-ins and/or rake. The drop boxes must:

- a) be locked to the table; and

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b) have an identifying marker that corresponds to the table it is installed on.

The casino facility must have enough drop boxes for each table to ensure one box is always affixed to the table.

6.3.8 The casino facility licensee must have a means of securing the chips on the table when not attended by a registered gaming worker.

6.3.9 Chips trays must be set up with the highest denomination in the center and descend to the lowest value chips on the outside.

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6.4 GENERAL TABLE GAME OPERATIONS

6.4.1 During a casino event, the facility must offer table games to patrons during peak hours of operation. AGLC may reduce or suspend this requirement with notification to the facility licensee.

6.4.2 Registered gaming workers actively conducting table game operations must not provide to or receive anything from another person by hand.

Note: The casino facility licensee may develop a procedure that allows for a 'fist bump' or other contact they deem appropriate with a patron, provided the registered gaming worker dusts off immediately before and after, showing clear hands to the camera.

6.4.3 Only chips may be used for wagering on table games. Casino facility licensees must not accept chips from other facilities.

6.4.4 Roulette players must only use Roulette chips when playing on the inside. The casino facility licensee must use a marking system at the table that:

- a) clearly denotes the value each colour represents;
- b) may only allow one player to place casino chips on the inside betting area;
- c) considers Roulette chips to have no value outside the table;
- d) has a method to easily identify the specific table a Roulette chip belongs to; and
- e) does not require unique facility branded Roulette chips.

6.4.5 Wagers must be:

- a) in multiples of \$1 except for Roulette, Wheel of Fortune and the ante on some poker games; and
- b) placed within the designated space provided before dealing commences to be valid.

Note: Wagers required for the natural course of play (e.g., Double Down, Split, etc.) are exempt from 6.4.5 b).

6.4.6 "Side betting", defined as a separate game taking place between two or more players in which the house has no action, is not permitted.

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- 6.4.7 House rules must be established which:
- a) limit the number of spaces each player can play on a given game or table; and
 - b) set the minimum bet if multiple squares are bet by one player.
- 6.4.8 The casino facility licensee may alter betting limits provided that:
- a) reasonable notice is given to the players, and
 - b) posted table limit signs are adjusted accordingly prior to altered betting limits taking effect.
- 6.4.9 Table limits must not be altered until a shuffle (card games), spin (roulette) or new come out roll (craps) occurs.
- 6.4.10 The casino facility licensee may develop house rules that will allow active players, at the time of a change to table betting limits, retain the old limit or provide specific square(s) with a different limit. Where permitted by the casino facility licensee, they must use marker(s) or indicator(s) that will clearly display the limits being used for each betting area to surveillance.
- 6.4.11 On opening or replacement, cards must be ribbon spread face up to allow players an opportunity to witness the cards being used for the day.
- 6.4.12 Cards must be shuffled in an area that can be witnessed by the players. Facilities may use shuffle tables or other designated areas to shuffle cards in preparation for use. Cards shuffled in this manner must be contained in order to prevent any tampering until use (e.g., sealed vaults, covered in clear plastic in plain sight).
- 6.4.13 Casino facility licensees must submit shuffle procedures in writing to AGLC for approval regarding their various table installations, including:
- a) casino facility licensees may adopt procedures provided for in AGLC's Casino Operational Best Practices without prior AGLC approval; and
 - b) automatic shufflers must be certified by an accredited testing facility registered with AGLC, and the certificate must be provided and approved by AGLC prior to use. Approved automatic shufflers may be used on all games.

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AGLC, at its discretion, may direct a casino facility licensee to amend any submitted shuffle procedures if they deem a procedure not sufficient enough to randomize the cards/tiles.

6.4.14 The casino facility licensee may set up house rules for partner betting on table games provided that:

- a) where partner betting is allowed, the facility must not:
 - i) allow the combined wagers to exceed the table maximum limit;
 - ii) prevent the partner bet from taking the same actions by the controlling player (e.g., Splits, Double Downs, etc.); or
 - iii) incorporate partner bets on games where players handle the cards, with the exception of Handheld Mini-Baccarat.
- b) the dealer must only accept decisions of the controlling player. Should the controlling player surrender their wager (if available), the partner wager may assume control over the square for the hand should they choose to continue;
- c) the casino facility licensee may identify that a partner bet requires the permission of the controlling player prior to accepting the wager; and
- d) for games that require a player decision involving the placement of an additional wager or the voluntary surrender of a wager, the facility operator must outline rules on how the partner wagers will be handled (e.g., splitting on Blackjack) if the partner bet does not wish to take the same action as the controlling player. The casino facility licensee cannot forfeit a partner bet if the partner does not wish to match the action of the controlling player.

6.4.15 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

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- 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;

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- 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.

6.4.16 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.

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6.5.1 The dealer may accept and exchange for chips at the table any of the following:

- a) cash;
- b) chips;
- c) AGLC approved casino chips; or
- d) casino or cash call cheques.

6.5.2 All transactions must be announced by the dealer. The dealer must obtain verification from a pit boss on all transactions of \$500 or more.

Note: The casino facility licensee may establish procedures which set the dollar amount of the transactions at a lesser value.

6.5.3 With prior written AGLC approval, the facility licensee may conduct large cash transactions away from the gaming table.

- 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 chip that can be redeemed at the gaming table for chips.

6.5.4 All exchanges must be conducted and displayed by the dealer in a manner that surveillance can clearly verify the values being exchanged.

- a) The exchange must be an equal value; and
- b) registered gaming workers supervising the transaction are responsible for ensuring the denominations of the transactions are clearly on display and are accurate.

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6.5.5 Cash, chit(s), casino cheque(s), or cash call(s) must be placed into the drop box by the dealer after the transaction has been completed.

The casino facility licensee must ensure:

- a) care must be taken when inserting cash, chit(s), casino cheque(s), or cash call(s) into the drop box to avoid mutilating;
- b) all cash, chit(s), casino cheque(s), or cash call(s) are dropped into the drop box of the table where it was exchanged; and
- c) once redeemed with the charity, chits must be retained for 30 days and available to AGLC upon request.

6.5.6 Should the amount of the exchange be in an amount where there are not sufficient chips on the table to complete the exchange, play will continue without delay until a "fill" is brought to the table.

6.5.7 The casino facility licensee assumes all risk and costs associated with any non-cash forms of payment methods it accepts.

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SECTION: 6. TABLE GAME OPERATIONS**6.6 AGGREGATE PAYOUT LIMITS**

- 6.6.1 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.
- 6.6.2 Casino facility licensees may only establish an aggregate payout limit for games where the associated payable contains a payout of 50 to 1 or greater.
- 6.6.3 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.
- 6.6.4 Aggregate payout limits must exceed the maximum payout that a player could win from placing the minimum wager on a table game.
- 6.6.5 Casino facility licensees must not apply aggregate payout limits to progressive paytables.
- 6.6.6 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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- 6.7.1 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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6.8 PROGRESSIVE JACKPOTS

6.8.1 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.

6.8.2 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 criteria, 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 criteria, 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

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- 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.
- 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

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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. Alternate hand shuffles are permitted only in emergencies.

h) manual progressive jackpot applications must also identify:

- i) disbursement structure; and
- ii) opt-out and re-entry criteria.

6.8.3 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

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the funds for multiple pools. The combined totals of the pools must meet conditions in Subsection 6.8.3 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; or
 - ii) a dedicated trust account that complies with Subsection 6.8.3 a).

6.8.4 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.

6.8.5 Once a jackpot win is confirmed, the casino facility licensee must pay all progressive jackpot amounts as advertised in accordance with the approved payable, 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 3.7);
 - 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;

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- 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.

6.8.6 If a casino facility licensee wishes to modify the progressive payable or terminate a progressive jackpot, the termination plan approved under Subsection 6.8.2 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

6.8.7 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

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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.

6.8.8 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

6.8.9 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

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- 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.
- 6.8.10 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.).

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SECTION: 6. TABLE GAME OPERATIONS**6.9 TABLE LIMITS AND RAKE****6.9.1 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.

6.9.2 Blackjack Limits:

- a) Betting limits shall be established between the ranges of \$1 - \$2,000.

6.9.3 Mini Baccarat Betting and Limits:

- a) Betting limits per space shall be \$1 - \$2,000.
- b) A house rule may also be established that sets an aggregate limit for each baccarat table that does not exceed \$18,000.
- 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.

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6.9.4 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.

6.9.5 Proposition games betting limits shall be established between the ranges of \$1 - \$100.

6.9.6 Bonus Bet Games:

- a) Betting limits 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.

6.9.7 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.

6.9.8 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 per cent commission on all winning player bets plus a five 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.

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6.9.9 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.

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SECTION: 6. TABLE GAME OPERATIONS**6.10 IRREGULARITIES – ALL GAMES**

- 6.10.1 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.
- 6.10.2 Overbet: If player bets over maximum and dealer fails to note before hand is played, payoff or loss shall only be table maximum.
- 6.10.3 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.
- 6.10.4 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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SECTION: 7. DAILY PROCEDURES AND CHARITY PARTICIPATION**7.1 CASINOTRACK SYSTEM**

7.1.1 All licensed casino event table game operations must be conducted using AGLC's CasinoTrack system.

7.1.2 In the event the CasinoTrack system becomes disabled due to a technical issue, power outage or emergency situation, the licensed charity and casino facility licensee must:

- a) document all transactions and enter them into the CasinoTrack system once it becomes available;
- b) immediately report the situation to AGLC's Customer Care; and
- c) complete a Discrepancy Report and submit to AGLC.

7.1.3 To start the casino event, the general manager, assisted by the cash cage advisor, will:

- a) initialize the casino event in the CasinoTrack system by entering all required information into the system;
- b) review the information populated in the CasinoTrack system and update any information required to complete the event (e.g., banking information); and
- c) use the CasinoTrack system to assign roles and unique ID cards to the charity volunteers.

Note: Unless otherwise identified in the CTCOG or approved by AGLC in writing, charity volunteers may not be assigned to perform more than one volunteer role per day.

7.1.4 Casino volunteer CasinoTrack system ID cards are considered to be the volunteer's signature for verifying transactions and must not be:

- a) shared or transferred to other charity volunteers; or
- b) used without the knowledge and presence of the charity volunteer assigned to an ID card.

7.1.5 Charity workers must use their issued CasinoTrack system card to register their role in the CasinoTrack system upon the first sign-in for the event.

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- 7.1.6 All monetary transactions (e.g., cash, chips, cash call and casino chits/cheques, match plays, etc.) conducted between the licensed charity, charity volunteer roles and the casino facility licensee must be performed through the CasinoTrack system.
- 7.1.7 The casino facility licensee, registered gaming workers, and charity volunteers are responsible for ensuring the information/transaction they are required to enter/witness is entered accurately into the CasinoTrack system.
- 7.1.8 There must be a minimum of two independent verifications of all monetary transactions conducted by a registered worker or charity volunteer in the CasinoTrack system. A designated transaction witness cannot perform an independent verification.

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7.2 CASINO EVENT TRANSACTIONS

7.2.1 All transactions required to be entered in the CasinoTrack system must be performed as required during the casino event.

7.2.2 Opening the casino event:

- a) the games manager or operator representative will provide the float to the general manager or banker, witnessed by the advisor (day one);
- b) the float must be provided in cash only. AGLC may approve, in writing, temporary procedures to carry over and reconcile assets that represent monetary value (e.g., cash call and casino chits/cheques, match plays, etc.) from the previous event;
- c) assets required to conduct the casino event from the safe will be transferred to the general manager or banker witnessed by the advisor (day two);
- d) the games manager or operator representative will transfer the chips in the chip bank to the general manager or banker, witnessed by the advisor;
- e) the games manager or pit supervisor will transfer the chips in the tables to the charity with the general manager or chip runner;
- f) the banker will provide the cashier(s) their float, witnessed by the advisor; and
- g) the pit boss and dealer will open the table(s) with the chip runner.

7.2.3 During the casino event:

- a) games tables may be opened or closed as required, the transaction will be performed by the pit boss/pit supervisor, dealer, and chip runner;
- b) games tables not in operation must display either a closed or interim closed card (depending on the table's CasinoTrack system status) when a dealer is not present at the table;

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- c) when a pit supervisor requests a fill to a table game from the chip bank, the transaction will be performed by the pit supervisor, banker, chip runner, pit boss and dealer:
 - i) the chip runner must be escorted by security from the volunteer cash cage to the table; and
 - ii) the general manager may request assistance from security to physically transfer the chips witnessed by the chip runner.
- d) when a pit supervisor requests that chips be credited from the table to the chip bank, the transaction will be performed by the pit supervisor, banker, chip runner, and dealer:
 - i) the chip runner must be escorted by security from the table to the volunteer cash cage; and
 - ii) the general manager may request assistance from security to physically transfer the chips witnessed by the chip runner.
- e) the games manager must ensure all drop box ID cards are placed in the correct box prior to a pull being conducted; and
- f) the cashier may return chips and/or cash to the banker or the banker may provide additional cash to the cashier, witnessed by the cash cage advisor.

7.2.4 Charity Shift Change/End of Shift:

- a) the cashier(s) will transfer all chips and cash back to the banker, witnessed by the advisor;
- b) the outgoing banker will transfer all assets to the incoming banker, witnessed by the advisor; and
- c) as charity volunteers/charity workers finish their shift, the general manager will end their shift in the CasinoTrack system. Volunteers/ charity workers and registered gaming workers will sign all associated end of shift reports generated by the CasinoTrack system as identified on the report.

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- a) the pit supervisor, dealer and chip runner will close all tables listed as 'open' in the CasinoTrack system:
 - i) the general manager may assign a member of the count team to assist with the table 'close' if it does not interfere with the count team member's duties.
- b) the games manager and general manager must return all table chips back to the facility casino licensee:
 - i) the games manager may assign a pit supervisor and the general manager may assign the chip runner to perform this task.

Note: no registered gaming worker or charity volunteer may perform the return table chip transaction if they were previously involved in the close transaction for that specific table.

- c) the cashier(s) will transfer all chips and cash back to the banker, witnessed by the advisor;
- d) the general manager will end the cashier's shift in the CasinoTrack system;
- e) the banker or general manager will transfer the chips in the chip bank back to the games manager or operator representative, witnessed by the advisor; and
- f) the casino facility licensee is responsible for ensuring chips are safely secured in overnight storage and that they have sole access.

7.2.6 End of Day One:

- a) the banker, general manager, and/or count room supervisor will transfer all non-chip assets to the safe, with the advisor:
 - i) the charity may request reconciliation of non-cash instruments prior to ending day one (e.g., cash calls/ chits, match plays, etc.).
- b) the general manager and advisor will ensure all charity assets are secured for overnight storage;

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- c) once all entries for the day one event are completed, the advisor will perform the end of day transaction in the CasinoTrack system, including:
 - i) the advisor will print all reports from the CasinoTrack system and provide a minimum of one copy to the licensed charity and casino facility licensee; and
 - ii) if requested, provide the charity or the casino facility licensee additional reports as required.

7.2.7 End of Day Two:

- a) the general manager, banker and/or count room supervisor will return the float in part or whole to the games manager or operator representative, witnessed by the advisor:
 - i) the casino facility licensee may request sufficient quantities of each denomination to conduct the next casino event; and
 - ii) it is recommended that the return of the float does not exceed the amount of funds provided by the casino facility licensee during the event.
- b) the general manager, banker and/or count room supervisor will return any assets that represent a monetary value (e.g., cash call and casino chits/ cheques, match plays, etc.) to the casino facility licensee's games manager or operator representative, witnessed by the advisor;
- c) the games manager or operator representative will return the cash value to the general manager or banker of all cash call and casino chits/cheques, and match plays or similar tokens collected from table games; and
- d) the general manager, count room supervisor or banker with the games manager or operator representative, will deposit any remaining funds to the casino facility licensee's clearing account, witnessed by the advisor:
 - i) deposited funds must be sealed in a cash deposit bag; and

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- ii) the general manager will ensure the deposit bag is placed in secure storage pending transfer to the bank.

7.2.8 Once all assets have been either returned to the casino facility licensee or deposited, the advisor will perform the end of day transaction, including:

- a) the advisor will print all reports from the CasinoTrack system and provide a minimum of one copy to the charity and casino facility licensee:
 - i) if requested, provide the charity or the casino facility licensee additional reports as required.
- b) the advisor must ensure all concession fees and advisor fees have been entered correctly into the CasinoTrack system;
- c) the casino facility licensee is required to provide a receipt for all concession expenses prior to the end of the event. Failure to do so may result in loss of the expense being reimbursed from the charity or the pool; and
- d) once all reports have been printed and all information has been entered into the CasinoTrack system, the advisor will conduct the end event transaction in the CasinoTrack system.

7.2.9 The casino facility licensee is financially responsible for any poker game overages/shortages.

7.2.10 A Discrepancy Report must be submitted to AGLC for any of the following occurrences:

- a) games table transaction adjustments \$100 or more;
- b) poker game overages/shortages \$25 or more; and
- c) other financial discrepancies (e.g., count room, cash cage) \$200 or more.

7.2.11 All required casino event reports must be printed and signed by the charity volunteers and/or registered gaming workers as identified in the document, this includes:

- a) End of shift reports include:
 - i) Banker Daily Master Chip/Cash Control Report;
 - ii) Cashier's Daily Record; and

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- iii) Nightly reports include:
 - Closing Game Inventory of Chips;
 - Count Room Drop Box Verification;
 - Master Revenue Report; and
 - Master Revenue Report Summary.
- b) End of Event reports include:
 - i) Reconciliation of Casino Win/Loss and Pool Contribution,
 - ii) Cheque Reconciliation, and
 - iii) Chip Inventory Audit.

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7.3 PULL OF DROP BOXES

7.3.1 Prior to the event, the casino facility licensee will provide the charity with an estimated time when the drop box pulls are scheduled. The charity will ensure its volunteers and the count room advisor (if applicable) required for the count are available at those times.

7.3.2 The general manager, in consultation with the advisor, is responsible for notifying the casino facility licensee (games manager) should the volunteer cash cage require additional or specific funds. The casino facility licensee will be responsible to address any reported issue.

7.3.3 In the event additional or specific funds are required outside of the criteria laid out in Subsection 7.3.2, the general manager may order an emergency pull under the following conditions:

- a) a minimum of two charity volunteer staff, an advisor and games manager are present to conduct the count, and
- b) a Discrepancy Report is completed and submitted to AGLC.

7.3.4 The general manager must:

- a) ensure a full count room team is prepared to conduct the count without delay;
- b) witness the games manager conduct the pull of drop boxes and accompany the drop boxes from the tables to count room;
- c) assist with placing the new drop boxes in the table games (if required);
- d) assign the chip runner to assist with the replacement of the new drop boxes in the table games while accompanied by the general manager (if required); and
- e) ensure security accompany the drop boxes from pull to count room.

Note: security may participate in the transporting of drop boxes from the table games to the cart.

7.3.5 Drop boxes must be pulled from every table when performing the final count.

7.3.6 If the charity has a full count room team and the count room advisor is ready to process drop boxes, the casino facility licensee may

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conduct a series of partial pulls of available drop boxes from game tables during the final count. All boxes must be provided to the count team (see 7.3.5).

7.3.7 Where the volume of anticipated business is low at a casino event, the charity may, in consultation with the casino facility licensee, conduct the count with the volunteers used in the cash cage at the end of the event. The charity and/or facility must not:

- a) conduct an interim pull or count, or
- b) assign the role of count room supervisor to the person who performed the role of banker.

7.3.8 AGLC may approve other pull procedures if the casino facility licensee can demonstrate how all funds received at table games will be accounted for. The casino facility licensee and registered gaming workers may be held responsible if funds are not provided to the charity on the day they were received.

7.3.9 The casino facility licensee, based upon volume of anticipated business and operational requirements, may identify that an interim count is required for a specific day(s) of the week. The facility must provide any changes to these requirements to the charities and advisors at least two weeks in advance of the change occurring.

7.3.10 The casino facility licensee may limit the number of boxes collected during an interim pull.

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SECTION: 7. DAILY PROCEDURES AND CHARITY PARTICIPATION**7.4 COUNT ROOM OPERATIONAL REQUIREMENTS**

7.4.1 AGLC will provide each casino with an appropriate number of money counting machine(s).

7.4.2 The money counting machine(s) must always be used, including:

- a) counterfeit detection (where available) must be enabled on all money counting machines;
- b) in the event of a technical issue and money counting machine(s) are unavailable, manual counts may be used; and
- c) a discrepancy report must be completed and submitted to AGLC.

Note: Where a small amount of bills is not accepted by the money counting machine, the counter may count the remaining bills down and add them to the total. No Discrepancy Report is required.

7.4.3 The count room advisor/combined advisor, or combined general manager/advisor:

- a) will ensure the required volunteers/charity workers are in position and supervise the count; and
- b) is responsible to witness the count, ensures all entries are made accurately and ensures security of the count.

7.4.4 During the count, the count room advisor/combined advisor, or combined general manager/ advisor:

- a) may reset the drop box once the sorter has verified the box is empty to another count room volunteer/ charity worker or advisor and the empty box is shown to the video surveillance camera; and
- b) must not handle chips or money unless it is to demonstrate how to perform a count team member's duties.

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SECTION: 7. DAILY PROCEDURES AND CHARITY PARTICIPATION**7.5 COUNT ROOM VOLUNTEER/CHARITY WORKER ROLES AND RESPONSIBILITIES**

7.5.1 The general manager is responsible for providing the drop box keys to the count team and ensuring:

- a) the keys are secured when not in use to conduct pull/count room activities; and
- b) the keys are returned to the facility operator at the end of the event.

7.5.2 The drop box count shall be conducted in the count room as follows:

- a) The count room advisor ensures all required staff (reference Subsection 7.3.2) 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) For each drop box, the sorter:
 - 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.

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- 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. 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 recorder has entered the correct amount of the count into the CasinoTrack system and the counter then passes the bills to the amalgamator.
- f) The counter shall, for each box:
- i) count the quantities of coin;
 - ii) tell the recorder the coin amounts;
 - iii) amalgamate the coin; and
 - iv) ensure the recorder has entered the correct amount of the count into the CasinoTrack system, then pass the coin to the amalgamator.
- 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

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- ensure all bills are face up.

- h) The count room supervisor shall, for each drop box:
 - i) record the total counted by the amalgamator on the CasinoTrack system;
 - ii) ensure that the totals from the counter and the amalgamator are correct and match;
 - iii) in the event of a discrepancy between the two, the amalgamator shall recount the bills in question and the confirmed count shall prevail; and
 - iv) receive bills, coin and chips from the counter and, when using a money counting machine, verify each bundle as in e) above; or
 - v) at the conclusion of the count, the count room supervisor shall generate the count room Drop Box Verification Report.
- i) The advisor witnesses, verifies its accuracy and ensures security of the count.

7.5.3 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.

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c) The rake chips are transferred to the banker following standard chip transfer procedures.

7.5.4 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) enter 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) The count room supervisor shall deliver copies of the printed reports to the general manager.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.1 AML – DEFINITIONS**

8.1.1 In this handbook, the following AML definitions apply:

- a) “AML” means anti-money laundering.
- b) “AML administrators” means any individuals, authorized by AGLC to access the AML reporting system, or 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.
- c) “AML key positions” means games manager, pit supervisor, pit boss (includes poker houseman), slot manager, slot supervisor and cash cage advisor.
- 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 and/or a patron who requires enhanced monitoring.
- 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) “As soon as practicable” means when the required action can be performed. Must not exceed seven days.
- i) “Beneficiary” means the patron that benefits from a transaction. *(Added June 2024)*
- j) “Casino disbursements (CD)” means all cash outs, slot jackpot payouts and tournament prizes for a patron of an amount totaling \$10,000 CAD or more in one or more transactions occurring on the same gaming day.

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- k) "CAD" means Canadian dollar.
- l) "CAD equivalent" means the value of any country's currency in Canadian dollars.
- m) "Conductor" means the patron that performs a buy-in transaction. *(Added June 2024)*
- n) "FINTRAC" means Financial Transactions and Reports Analysis Centre of Canada.
- o) "FOIP" means the *Freedom of Information and Protection of Privacy Act*.
- p) "Foreign Currency Exchange Ticket" means an entry in a transaction register or log maintained by the casino facility licensee.
- q) "Funds" means cash and or negotiable instruments (i.e., bank draft, certified cheque, traveler's cheque, money order) and excludes any virtual or crypto currencies.
- r) "Gaming day" means the casino daily business hours of between 5 a.m. and 4:59 a.m.
- s) "LCT (large cash transaction)" means an amount of cash received from a patron totalling \$10,000 CAD or more in one or more transactions occurring on the same gaming day which includes buy-ins and foreign currency exchanges.
- t) "PTR (Patron Transaction Report)" is the document used to record patron information and all reportable transactions. A PTR is used for a receipt of funds transaction (ROFT), foreign currency exchange (FCE), large cash transaction (LCT) and casino disbursement (CD).
- u) "PCMLTFA" means the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*.
- v) "Property" means any type of real or personal property in a casino facility licensee's possession or control.
- w) "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.

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- x) “Reasonable measures” means steps taken to achieve a desired outcome, even if they do not result in the desired outcome (e.g. asking the patron, retrieving information already available, etc.).
- y) “Requester” means the patron that requests and receives a disbursement such as a cashout, payout or prize. *(Added June 2024)*
- z) “ROFT” Receipt of funds transaction means a record that indicates the receipt of an amount of funds in a single transaction of \$3,000 or more.
- aa) “SPN (stop play notification)” means a notification issued by the casino facility licensee that immediately suspends all gaming activities within the facility.
- bb) “Terrorist” or a “Terrorist group” includes anyone that, as one of their purposes or activities, facilitates or carries out any terrorist activity.
- cc) “Third party” means any patron that instructs another individual to act on their behalf for a financial activity or transaction.
- dd) “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.
- ee) “UTR (Unusual Transaction Report)” is the document used to record and report unusual transactions.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.2 AML – GENERAL**

- 8.2.1 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.
- 8.2.2 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.
- 8.2.3 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 8.
- 8.2.4 AML key positions and registered gaming workers completing PTRs, UTRs and/or supporting documents must ensure all required information is completed accurately and recorded in a legible manner.
- 8.2.5 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.
- 8.2.6 Receipts for gaming related transactions may only be issued for progressive jackpot wins using the Alberta Progressive Jackpot Win Receipt.
- 8.2.7 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.
- 8.2.8 All gaming related transactions shall be initiated and completed by the same patron (e.g. the patron who redeems a slot ticket must also receive the payment). *(Added June 2024)*

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.3 CONFIDENTIALITY AND PRIVACY**

- 8.3.1 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.
- 8.3.2 When collecting, accessing, using, disclosing, storing and disposing of personal patron information on behalf of AGLC for the purposes of Section 8, casino facility licensees must comply with the provisions of Alberta's *FOIP Act*.
- 8.3.3 Photocopying patron credit/debit cards is prohibited.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.4 AML FACILITY LICENSEE REQUIREMENTS**

- 8.4.1 Casino facility licensees are responsible for the submission of all ROFTs, 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.
- 8.4.2 Casino facility licensees must appoint an AML liaison responsible for facility compliance with Section 8 and internal facility AML procedures.
- 8.4.3 Casino facility licensees must appoint AML administrators responsible for data entry into AGLC's AML reporting system.
- 8.4.4 Casino facility licensee's must develop and maintain internal AML facility policies and procedures. The policy and procedures must not contravene the PCMLTFA, existing AGLC policies and/or FINTRAC requirements. Internal policy and procedures must include:
- 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;
 - d) communication and procedural protocols for issuing an SPN;
 - e) a workflow plan illustrating the handling of all PTRs, UTRs and supporting documents, including safeguarding and destruction procedures;
 - 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.
- 8.4.5 Casino facility licensees must use the PTR to record all reportable and receipt of funds transactions.
- 8.4.6 Casino facility licensees must destroy all PTRs, UTRs, patron tracking records and supporting documents 30 calendar days from the date of the transaction.

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- 8.4.7 Casino facility licensees must obtain prior approval from AGLC for any procedure that involves the storage, collection, or retention of patron funds or casino chips.
- 8.4.8 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 (e.g., gift certificates or gift cards). The use of virtual or crypto currencies is prohibited.
- 8.4.9 Casino facility licensees must notify the AML unit on 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.
- 8.4.10 Casino facility licensees are prohibited from conducting denomination exchanges in excess of \$1,000 CAD per patron on the same gaming day.
- 8.4.11 Chip redemption at the slot cage for less than \$10,000 CAD is prohibited when the charity cash cage is operational.
- 8.4.12 On single or multiple buy-ins of \$3,000 or more involving a high quantity of small denomination bills (\$5, \$10, and/or \$20) of unknown origin, AML key positions must ensure that:
- a) patrons are cashed out in the same denomination bills that the patron used during buy-in;
 - 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.
- 8.4.13 Casino facility licensees must track table game transactions in compliance with AGLC's AML reporting requirements.
- 8.4.14 Electronic fund transfers and opening of patron accounts are prohibited.
- 8.4.15 Casino facility licensees must maintain a log of staff training records relating to AML; up to and including subsequent training provided by

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AGLC; policy addendums requiring review; and/or any internal training programs related to AML.

8.4.16 Failure to comply with internal casino facility policies and procedures may result in administrative sanctions.

8.4.17 Casino facility licensees must actively monitor the casino Gaming Information Network (GIN) for AML bulletins and the AML reporting system for patron alerts.

8.4.18 Casino facility licensees must adhere to all directives in AML bulletins and PSPNs in accordance with Subsection 4.1.1 d).

8.4.19 All patron transactions, including third party transactions (see Section 8.12), conducted by a casino employee must be:

- 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. The use of prepaid products in gaming areas is limited to \$500 per patron per gaming day. *(Added June 2024)*

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.5 AML TRAINING & CERTIFICATION**

- 8.5.1 A casino facility licensee must ensure that all registered gaming workers working in the facility maintain a valid AGLC AML certification.
- 8.5.2 Registered gaming workers must be AGLC AML certified before working in a casino. Equivalency will not be granted for certification offered in other provinces.
- 8.5.3 AML certification is valid for a period of two years from the date of successfully completing the program.
- 8.5.4 Valid AML certification must be maintained by successfully repeating the AML training program examination before the certification expiry date.
- 8.5.5 Additional mandatory training may be required prior to the certification expiry date.

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8.6 AML IDENTIFICATION REQUIREMENTS & IDENTITY VERIFICATION

8.6.1 For the purposes of complying with the PCMLTFA, FINTRAC requirements and this section, identity verification is the responsibility of the AML key position.

8.6.2 Valid primary identification must:

- a) have a photo;
- b) have a name;
- c) be government issued (excluding provincial health care cards);
- d) include date of birth;
- e) not be expired;
- f) have a unique identifier number; and
- g) be an original (not a copy).

8.6.3 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);
- c) have a unique identifier number; and
- d) include date of birth.

8.6.4 If the primary photo identification (such as a driver's licence) is expired but accompanied with a paper temporary extension (such as a temporary interim driver's licence), it is considered current and valid for AML identity verification purposes under the following conditions:

- a) both the primary photo identification (expired) and paper temporary extension were issued in Canada by the same government authority;
- b) the name, unique identifier number and signature match on both documents;
- c) the identification will be considered valid until the expiration as indicated on the paper temporary extension;

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- d) the identification expiry date to be entered into the AML reporting system by the AML administrator will align with the expiration as indicated on the paper temporary extension; and
- e) the primary photo identification (expired) and paper temporary extension will be photocopied and attached to the PTR.

8.6.5 If the primary and secondary identification appear not to be genuine:

- a) the transaction must not be completed;
- b) a 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 Customer Care; and
- d) the AML key position must complete a UTR, following the procedures outlined in Subsection 8.11.4.

8.6.6 When verifying a patron's identity, the identification must be photocopied and attached to the PTR.

8.6.7 If patron information has been previously verified through valid identification and has been entered into the AML reporting system 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.

8.6.8 Casino facility licensees must verify and/or update patron information on the AML reporting system when alerted to do so.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.7 RECEIPT OF FUNDS TRANSACTIONS**

- 8.7.1 Casino facility licensees receiving \$3,000 or more in funds (cash, cheque or negotiable instrument) from a patron in a single transaction must follow the patron identification requirements described in Section 8.6 and complete a PTR (ROFT) by an AML key position.
- 8.7.2 PTRs (ROFT) and supporting documents detailing the receipt of funds in a single transaction of \$3,000 CAD or more must be reported as a ROFT to the AML unit by the AML administrator within seven calendar days from the time of the transaction.
- 8.7.3 PTRs (ROFT) must include:
- a) patron name, physical address, occupation or nature of business and date of birth;
 - b) valid ID type, place of issue, expiry date (if applicable) and unique identifier number of the identification (if produced);
 - c) time, date, game type and table number for the transaction;
 - d) the amount of funds received and the amount of any part of the funds that is received in cash; and
 - e) third party information if conducted on behalf of another patron.
- 8.7.4 If a patron refuses or is unable to provide acceptable identification as outlined in Section 8.6 or any information required to complete a PTR (ROFT):
- a) the transaction must not be completed;
 - b) a 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 8.11.4.
- 8.7.5 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.

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8.8 LARGE CASH TRANSACTIONS

8.8.1 The following cash transactions require patron identification (as per Section 8.6) 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 totaling \$10,000 CAD or more.

8.8.2 PTRs (LCT) and supporting documents detailing an amount of cash received from a patron totaling \$10,000 CAD or more, in one or more transactions occurring on the same gaming day, must be reported as a LCT to the AML unit by the AML administrator within seven calendar days from the time of the last transaction.

8.8.3 PTRs (LCT) must include:

- a) patron name, physical address, occupation or nature of business and date of birth;
- b) valid ID type, place of issue, expiry date (if applicable) and unique identifier number of the identification (if produced); and
- c) time, date, game type and table number for each transaction.

8.8.4 If a patron refuses or is unable to provide acceptable identification as outlined in Section 8.6 or any information required to complete a PTR (LCT):

- a) the transaction must not be completed;
- b) a 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 8.11.4.

8.8.5 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.

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8.8.6 For PTRs (LCT) the AML key position must take reasonable measures to obtain from the patron and record the responses:

- a) source of cash;
- b) email address;
- c) telephone number;
- d) alias (if applicable); and
- e) employer's name.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.9 CASINO DISBURSEMENTS**

8.9.1 The following transactions require patron identification (as per Section 8.6) and the completion of a PTR (CD) by an AML key position:

- a) a single payout to a patron of \$10,000 CAD or more; and
- b) multiple payouts to a patron on the same gaming day totaling \$10,000 CAD or more.

8.9.2 PTRs (CD) and supporting documents detailing all cash-outs, slot jackpot payouts and tournament prizes of \$10,000 CAD or more for a patron, in one or more transactions on the same gaming day, must be reported as a CD to the AML unit by the AML administrator within seven calendar days from the time of the last transaction.

8.9.3 PTRs (CD) must include:

- a) patron name, physical address, occupation or nature of business and date of birth;
- b) valid ID type, place of issue, expiry date (if applicable) and unique identifier number of the identification (if produced);
- 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.

8.9.4 All transactions at the volunteer cash cage for \$3,000 CAD or more must be witnessed by a cash cage advisor.

8.9.5 If a patron refuses or is unable to provide acceptable identification as outlined in Section 8.6 or any information required to complete the PTR (CD):

- a) the transaction is not to be completed;
- b) a 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 8.11.4.

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8.9.6 AML key positions must track casino disbursement transactions to ensure compliance with AGLC's AML reporting requirements, including:

- a) for PTRs (CD) the AML key position must take reasonable measures to obtain from the patron and record the responses:
 - i) email address;
 - ii) telephone number;
 - iii) alias (if applicable); and
 - iv) employer's name.

8.9.7 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.

SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.10 FOREIGN CURRENCY EXCHANGE**

8.10.1 The AML key position must ensure all foreign currency exchange transactions, regardless of amount, are recorded on a Foreign Currency Exchange Ticket and contain the following:

- a) date of the transaction;
- b) amount;
- c) currency of purchase or sale;
- d) the exchange rates used and their source;
- e) the method; and
- f) the amount and currency of payment made or received.

8.10.2 A single foreign currency exchange transaction of \$3,000 CAD or more requires recording of the patron's identification and the completion of a PTR (FCE) by an AML key position. All information listed in Subsections 8.7.3 a), 8.10.1 and the PTR (FCE) must be submitted to the AML unit by the AML administrator within seven calendar days of the transaction.

8.10.3 An AML key position is responsible for ensuring all Foreign Currency Exchange Tickets are accurate and retained by the casino facility.

8.10.4 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 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.

8.10.5 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 from the time of the last transaction. When reporting the transactions:

- 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.

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8.10.6 Foreign currency exchange transactions must be refused should a patron fail to provide the required information.

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8.11 UNUSUAL TRANSACTIONS

8.11.1 The following are examples (not a complete list) of unusual transactions whether attempted or completed:

- a) patron requests a cheque in a third party's name; *(Amended June 2024)*
- b) acquaintances bet against each other and it appears that they are intentionally losing to one patron in the party; *(Amended June 2024)*
- 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 minimal or no game play; *(Amended June 2024)*
- e) patron attends a facility with cash purchasing a large volume of chips, participates in limited gambling activity and then departs with the chips or requests a casino cheque to avoid tracking or reporting; *(Amended June 2024)*
- 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 \$3,000 or more with small denomination bills (\$5, \$10 and/or \$20) of unknown origin;
- 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;

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- m) patron has another patron conduct a transaction on their behalf that is unusual, demonstrates a pattern that may be deemed unusual or is inconsistent with standard patron gaming activities or is an attempt to avoid reporting; *(Amended June 2024)*
- n) patron occupation doesn't match the aggregate buy-in used for play;
- o) funds obtained from suspected financial instrument or credit/debit card fraud, then used for gambling; or *(Added June 2024)*
- p) patron attempts to avoid/circumvent any requirements outlined in an AML bulletin. *(Added June 2024)*

8.11.2 UTRs and supporting documents detailing unusual transactions must be completed and submitted to the AML unit by an AML administrator as soon as practicable.

8.11.3 A registered gaming worker who witnesses an actual or attempted UT must immediately notify an AML key position.

8.11.4 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);
- c) obtain patron identification if possible;
- d) not disclose to the patron(s) involved that a UTR is being submitted;
- e) document all relevant details on a UTR; and
- f) ensure all available third-party information related to a UT is recorded in the UTR.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.12 THIRD PARTY TRANSACTIONS**

- 8.12.1 AML key positions must take reasonable measures to determine if any individual is acting on behalf of a patron when conducting a LCT or receiving casino disbursements. 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.
- 8.12.2 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:
- a) obtain the assistance of security or surveillance to capture video surveillance photos of the patron(s) involved;
 - b) document the suspected nature of the relationship between the third party and the patron involved in the transaction; and
 - c) not complete the transaction if the identity of the third party cannot be determined.
- 8.12.3 When cashing/redeeming a negotiable instrument for a patron, it must be made out to the patron or the casino facility, and not a third party. *(Added June 2024)*

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.13 CHEQUE ISSUANCE**

8.13.1 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;
- c) cannot be issued for poker winnings or TITO tickets; and
- d) may be issued for confirmed tournament winnings for tournaments with a minimum of 30 entrants and a minimum prize pool of \$10,000.

8.13.2 Casino facility licensees may issue cheques for patron convenience and/or security purposes. Cheques being issued to patrons for nonconfirmed 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
- c) must have “non-verified win” imprinted on the face of the cheque.

8.13.3 Casino facility licensees:

- a) must issue all cheques in numerical sequence;
- b) must maintain a sequential log of cheques and transactions;
- c) must retain a duplicate copy of all cheques;
- d) must only issue cheques to patrons meeting the identification requirements outlined in Section 8.6; and
- e) are prohibited from issuing a cheque in the name of a third party or company.

8.13.4 Casino facility licensees are prohibited from issuing cheques in exchange for cash.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.14 GIFT CERTIFICATES/CARDS**

- 8.14.1 Gift certificates/cards, must be sequentially numbered and a sample must be approved by AGLC in writing.
- 8.14.2 Individual gift certificate/card denomination must not exceed \$500 in value.
- 8.14.3 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.
- 8.14.4 Purchases by patrons of individual or multiple gift certificates/cards made in cash must not exceed \$500 CAD in a single gaming day.
- 8.14.5 Casino facility licensees are prohibited from redeeming gift certificates/cards in excess of \$500 per patron per gaming day.
- 8.14.6 Casino facility licensees are prohibited from redeeming gift certificates/cards at a gaming table.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.15 TERRORIST PROPERTY**

8.15.1 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 8.11.4

8.15.2 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;
- 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 8.11.4.

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SECTION: 8. ANTI-MONEY LAUNDERING (AML)**8.16 AML REPORTING SYSTEM**

- 8.16.1 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 8.
- 8.16.2 The data and information retained in the AML reporting system and all associated hardware is the property of AGLC.
- 8.16.3 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.
- 8.16.4 AML administrators responsible for entering information into the AML reporting system must obtain individual access rights to the system from AGLC.
- 8.16.5 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 AML administrator's approved casino; and
 - d) using the system for purposes outside the scope of identified roles and responsibilities.

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SECTION: 9. ADVERTISING, PROMOTIONS AND WINNER'S EDGE

9.1 ADVERTISING

9.1.1 Advertising refers to the use of media to externally communicate a message to a wider audience, including but not limited to:

- a) newspapers;
- b) magazines;
- c) e-mail;
- d) social media;
- e) radio;
- f) television;
- g) internet; and
- h) signage.

9.1.2 With the exception of the provisions in Subsection 9.1.3, advertising that complies with these policies and with any requirements of the Canadian Radio-Television and Telecommunications Commission and any other regulatory body having related jurisdiction of casino games or activities is permitted without prior approval of AGLC.

9.1.3 Advertising of electronic games (including electronic table games) and any proposed filming, recording or broadcasting (e.g., live streaming) of gaming activities within the casino facility must be submitted to AGLC for approval.

9.1.4 With the exception of the provisions in Subsection 9.1.3 advertising that complies with these policies is permitted without the prior approval of AGLC. Advertising may focus on any one game or activity in the casino facility, or any combination of games or activities.

Basic Principles

9.1.5 AGLC reserves the right, at its discretion, to direct a casino facility licensee to amend or remove any advertising in the interest of the limits of good taste and propriety.

9.1.6 Advertising must not:

- a) encourage or promote irresponsible play;
- b) depict excessive or prolonged periods of play of table games or electronic games;

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- c) convey the impression that playing or winning will improve an individual's status or standing;
- d) be targeted at minors;
- e) be used to disparage or discredit another company, business or product;
- f) contain misleading or false information; or
- g) be placed on any AGLC non-regulated websites or websites with a direct link to an AGLC non-regulated gaming site (free or pay) or 'fantasy sports' sites.

9.1.7 The casino facility licensee's advertising costs must not be directly or indirectly charged to charities.

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SECTION: 9. ADVERTISING, PROMOTIONS AND WINNER'S EDGE**9.2 PROMOTIONS**

9.2.1 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.

9.2.2 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.

9.2.3 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.

9.2.4 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.

9.2.5 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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- 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;
- 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 9.2.6 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.

9.2.7 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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SECTION: 9. ADVERTISING, PROMOTIONS AND WINNER'S EDGE

9.2.8 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;
 - ii) the casino facility licensee must ensure that any proposal is in compliance with the *Personal Information Protection Act*;
 - 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.

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SECTION: 9. ADVERTISING, PROMOTIONS AND WINNER'S EDGE**9.3 WINNER'S EDGE**

9.3.1 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 Act* (FOIP).
- 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.

9.3.2 AGLC's WE program is a voluntary casino player rewards program operated in partnership with participating casino facility licensees.

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- 9.3.3 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.
- 9.3.4 WE partners must comply with the provisions set out in the CTCOG, WE Playbook and Personal Information Sharing Agreement.
- 9.3.5 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).
- 9.3.6 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.
- 9.3.7 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 authorized purpose for the use of 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;

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- 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.

9.3.8 Access to WE data is limited to WE partner staff, authorized by the casino facility licensee or AGLC, that require this access to perform specific WE program tasks prescribed in the WE Playbook.

9.3.9 Except as prescribed in the WE Playbook, reproducing WE data is strictly prohibited (e.g., screenshots, photos etc.).

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SECTION: 10. TOURNAMENTS**10.1 TABLE GAME TOURNAMENTS**

10.1.1 Casino facility licensees may host table game tournaments that comply with these policies without prior AGLC approval.

10.1.2 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 9.1) or promotion schemes (see Section 9.2);
- f) amount of compensation to the charity (see Section 10.1.4); 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.

10.1.3 A tournament may not adversely affect normal revenues for the licensed charity. The casino facility licensee is responsible for reimbursing the prize pool for any free/promotional entries provided as part of the tournament.

10.1.4 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 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, 2.5 per cent of the revenue generated must be allocated as compensation to the licensed charity; and

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

10.1.5 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.

10.1.6 All table game tournaments must be accurately entered into CasinoTrack within 24 hours of the conclusion of the event.

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SECTION: 10. TOURNAMENTS**10.2 SLOT TOURNAMENTS**

10.2.1 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.

10.2.2 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 9.1) or promotions (see Section 9.2);
- 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 4.6.1 b).

Note: Gaming service providers (see Section 4.6) not currently approved must successfully complete the background check outlined in Section 2.6.

10.2.3 Casino facility licensees must not use, or be affiliated 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.

10.2.4 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 9.1).

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- 10.2.5 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.
- 10.2.6 Signage displaying tournament rules of play and regulations must be prominently displayed for the duration of the tournament.
- 10.2.7 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.
- 10.2.8 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.
- 10.2.9 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.
- 10.2.10 Satellite tournaments awarding seats into other tournament events may be permitted with prior AGLC approval.
- 10.2.11 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.
- 10.2.12 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.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.1 REGISTRATION**

11.1.1 Only registered gaming workers, as provided for in Subsection 11.2.2, may be employed by a casino facility licensee (except for an advisor). Host First Nation casino facilities may employ advisors and registered charity workers as identified in Section 18 CTCOG. The casino facility licensee/Host First Nation charity is responsible for ensuring all registered gaming workers are properly trained to perform their assigned role.

11.1.2 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.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.2 REGISTRATION REQUIREMENTS**

11.2.1 In this Section, an “applicant” means an individual applying for registration as a gaming worker pursuant to the Gaming, Liquor and Cannabis Regulation.

11.2.2 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) advisor (cash cage, count room, combined and combined general manager/advisor);
- b) table games worker, including:
 - i) dealer;
 - ii) pit boss; and
 - iii) pit supervisor.
- c) games manager;
- d) manager of security;
- e) security guard;
- f) surveillance manager;
- g) monitor room personnel;
- h) slot worker, including:
 - i) slot operator;
 - ii) slot supervisor; and
 - iii) slot manager.
- i) casino manager; and
- j) casino facility operator representative.

11.2.3 Casino facility licensee personnel not registered with AGLC are prohibited from conducting financial transactions for, or on behalf of a patron more than \$200 per gaming day.

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11.2.4 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:

- 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.

11.2.5 Registration is issued at the discretion of the Board.

11.2.6 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 listed in section 10 of the Gaming, Liquor and Cannabis Regulation.

11.2.7 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);
- e) 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;
- 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).

11.2.8 If a registered gaming worker is charged or convicted, as described in Subsection 11.2.7, the Board may take disciplinary action including, but not limited to, suspension or cancellation of the registration.

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- 11.2.9 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.
- 11.2.10 Registered gaming 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. In addition:
- a) the casino facility is responsible for ensuring all registered gaming workers employed by the facility hold a current registration prior to commencing any gaming duties;
 - b) the registered gaming worker must not be paid for a licensed casino event should they choose to volunteer for any position the licensed charity has designated that individual to work; and
 - c) the registered gaming worker must not perform any volunteer positions during the same licensed event they have been paid or employed by the charity or casino facility licensee hosting the charity (e.g., the employee cannot work for the charity or hosting facility, either day of a two day license event they volunteered for).
- 11.2.11 Registration can be reissued 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 identification. If approved, the original registration number will continue to be used.
- 11.2.12 Applications for registration as a gaming worker (Form 5401) may be obtained on AGLC's website at aglc.ca.
- 11.2.13 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 records check included with the application. AGLC must receive the records check within three months of records check being issued.

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11.2.14 Any changes to personal information (address or name) must be reported immediately in writing, to gaming.registrations@aglc.ca or by telephoning AGLC's Registration Unit at 1-800-272-8876.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.3 CONDUCT**

- 11.3.1 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.
- 11.3.2 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.
- 11.3.3 Registered gaming workers who continue to work with an expired registration may be subject to an administrative sanction upon or after reissue of registration.
- 11.3.4 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.
- 11.3.5 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.
- 11.3.6 Advisors employed in rural casinos where only one advisor is present MUST hold both cash cage and a count room registration.
- 11.3.7 To maintain registration when applying for a renewal:
- a) advisors must meet the following requirements each year, including: *(Amended Feb 2024)*
 - i) have worked 100 hours; and
 - ii) have performed a minimum of two openings and two closings.
 - b) *(Deleted May 2024).*
- 11.3.8 *(Deleted May 2024).*
- 11.3.9 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:

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- 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.
- 11.3.10 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.
- 11.3.11 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.
- 11.3.12 Registered gaming workers may be scheduled to perform more than one position provided that:
- a) they hold the appropriate registration for the position scheduled; and
 - b) all previous duties being performed by the registered gaming worker are concluded prior to changing positions.
- 11.3.13 Personal possession of chips by registered gaming workers shall result in an immediate investigation and disciplinary action by the games manager.
- 11.3.14 Non-transferable CasinoTrack cards will be issued to advisors, charity workers and registered gaming workers conducting table game operations. These registered gaming workers must have their CasinoTrack card on their person at all times while scheduled for a casino event. AGLC may, at its discretion, charge a \$25 replacement fee to replace any lost, stolen or damaged cards.
- 11.3.15 Only registered gaming workers, scheduled to a specific task and on duty, are allowed in gaming areas.
- 11.3.16 The casino facility licensee must ensure that all registered gaming workers display an identification tag that at minimum shows:
- a) company name or logo;

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- b) color photograph of the registered gaming worker;
- c) first name of the registered worker, and
- d) the registration number and expiry date mm/yyyy or similar format containing the month and year.

Note: All required elements must be clearly visible.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.4 DEAL US IN CASINO STAFF TRAINING**

- 11.4.1 A casino facility licensee must meet Deal Us In Casino Staff Training certification requirements. Equivalency will not be granted for certificates issued by other provinces.
- 11.4.2 Persons requiring Deal Us In certification must be certified within 30 days of their employment start date (available at smartprograms.aglc.ca).
- 11.4.3 Deal Us In certificates must be maintained by successfully repeating the training program(s), including passing the exam(s), before certificates expire.
- 11.4.4 Staff must provide proof of Deal Us In certification at the request of an AGLC inspector. Proof of certification includes:
- a) paper printed certificate; or
 - b) a clear digital image (e.g., a screen shot) saved on the staff member's mobile device.
- 11.4.5 It is the responsibility of the casino facility licensee to ensure that at least one Deal Us In Phase One and Phase Two certified staff member is on shift at all times the facility is open to the public.
- 11.4.6 Deal Us In Phase One certification is mandatory for all registered gaming workers working full-time or part-time in a licensed facility (see Section 11.2).
- Note: Deal Us In Phase One certification is accepted in lieu of Reel Facts certification at licensed casino facilities where staff have involvement with VLT patrons.
- 11.4.7 Deal Us In Phase Two certification is mandatory for the following registered gaming workers working full-time or part-time in a licensed casino facility:
- a) casino supervisors;
 - b) managers; and
 - c) security staff.
- Note: Deal Us In Phase One certification is a prerequisite to Deal Us In Phase Two.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.5 CASH CAGE AND COUNT ROOM ADVISOR**

11.5.1 Interested applicants for the cash cage or count room advisor position must submit a completed Registration Application for Casino Advisor Examination (Form 5547) to AGLC, providing the following information:

- a) \$100 payment to cover administrative costs; and
- b) a records check (AGLC is not responsible for the cost of the clearance).

11.5.2 AGLC, at its discretion, may preclude an applicant who failed to achieve the minimum score on an exam from re-writing the exam for a period no greater than two years, as specified by AGLC. The \$100 fee identified in Subsection 11.5.1 a) to write the exam will be applied to all subsequent attempts.

11.5.3 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 2.6 of the CTCOG.

11.5.4 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 full-term registration will be issued upon completion of the background check and a training period which includes:

- 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.

11.5.5 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.

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- 11.5.6 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 accurately enter all required information into CasinoTrack. All required documentation pertaining to the casino event must be completed and balanced at close of the casino event prior to advisor's departure.
- 11.5.7 Cash cage advisors and count room advisors must not:
- a) act on behalf of the casino facility licensee in customer service or other types of casino business activities;
 - b) accept tips or gratuities of any form; and
 - c) promote themselves as the favoured or preferred advisor for any specific casino facility.
- 11.5.8 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.
- 11.5.9 Advisors may not hold any other gaming registrations, except as a registered charity worker at a Host First Nation charitable casino.
- 11.5.10 Cash cage advisor duties are defined as follows:
- a) ensure procedures are consistent with CTCOG and documents are verified as required;
 - b) ensure they are up to date and comply with information/updates (e.g., AML program information and updates) on the Casino Gaming Information Network (CGIN) website;
 - 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;

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- 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.
 - iii) cashiers do not accept chips from another casino facility;
 - iv) cashiers lay out incoming chips in a manner that can be verified by surveillance.

Example:

- 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 must be confirmed and placed in a chip rack in clear view of surveillance measures.

- v) cashiers count out by hand all cash payouts, in no more than groups of 10, in a manner that can be verified by surveillance.

Example:

- fanning out the bills lengthways.

- vi) cashiers may directly make cash payouts to patrons using a money counting machine for large cash-outs of more than 50 bills subject to the conditions of Section 5.2. However, cash-outs of 50 bills or less may be prepared

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using a money counting machine in order to verify the amount before counting out by hand as per Subsection 11.5.10 e) v);

vii) prior to using money counting machines for patron cash-outs for the day, the advisor must:

- test the money counting machine by running a bundle of 100 bills through the money counting machine twice; and
- should any test irregularity or malfunction in the use of the bill counter occur, complete a Discrepancy Report in the CasinoTrack system.

Note: Any irregularity or malfunctions must also be reported to the casino facility licensee and the money counting machine must not be used until repaired.

viii) cashiers, when using a money counting machine for patron cash-outs, are conducted in a manner that can be verified by surveillance. Denominations must be run through the money counting machine a minimum of twice, with totals that display the same result.

Example:

- when counting patron cash-outs, bill denominations must be counted separately from highest to lowest denomination;
- patron cash-outs must be counted twice for verification in view of the patron and be witnessed and verified by the advisor;
- total amount of the cash-out must 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 must be passed to the patron on the counter.

f) provide an independent check on cash cage operations and procedures;

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- 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 5.6);
- j) ensure any discrepancy in excess of \$200 is reported to AGLC (see Section 5.6);
- k) record the cash transactions;
- 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;

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- 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 11.5.10 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 5.6);
- q) adhere to the AML policies specified in Section 8;
- r) inform volunteers of the AML duties of a cash cage advisor and AML Volunteer (Charity) Program Information; and
- s) ensure volunteers and charity workers do not use electronic communication devices to take pictures or video while in the cash cage.

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11.5.11 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;
- c) train volunteers in, and advise 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 5.6);
- e) ensure any discrepancy in excess of \$200 is reported to AGLC (see Section 5.6);
- 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.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.6 GAMING WORKERS – TABLE GAMES**

11.6.1 All registered gaming workers holding a table game worker registration including games manager, must ensure:

- a) table games and transactions are conducted in accordance with house rules and Sections 6 and 7:
 - i) any suspected unlawful behaviour must be reported to the registered gaming worker's supervisor as soon as it is possible to do so without alerting the suspect; and
 - ii) games managers must 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.
- b) that chips from other casinos are not accepted;
- c) to 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) visual contact is maintained with cards, tiles or dice where players are permitted to touch/handle them. This includes any other similar medium to determine the outcome of a game. If game is not tracked electronically, ensure all cards, tiles, or dice are present at least once every 30 minutes;
- e) to dust off and show the camera clean hands (both palms up at the same time) any time hands leave the playing area or table;
- f) complete discrepancy reports as required; and
- g) duties are performed in accordance with AML procedures (see Section 8).

11.6.2 All registered gaming workers assigned to supervision or oversight positions and are identified in CasinoTrack as a pit boss, pit supervisor or games manager of table operations:

- a) are the only positions that can resolve a table irregularity;
- b) must possess extensive working knowledge of all games in the section to which they have been assigned to or are monitoring;

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- c) must ensure security and/or surveillance are made aware of potential security problems (e.g., problematic patrons, unusually large individual wins or losses, etc.);
- d) must enforce access provisions to the pit area;
- e) are responsible to perform all duties that may be delegated to them as outlined in 11.7.4;
- f) where the supervisor performs table schedules of breaks/shift changes (commonly referred to as a pit supervisor):
 - i) are directly responsible to the games manager;
 - ii) must ensure table games are adequately staffed at all times during the casino event and staff assigned to tables have appropriate knowledge and skill to conduct the game;
 - iii) ensures staff assigned to provide supervision on table activities are actively monitoring their assigned games/area; and
 - iv) ensures keys to chip trays are transferred to the games manager or secured in a key vault by the end of the night.
- g) where the supervisor is scheduled to perform active monitoring of table games:
 - i) is directly responsible to the games manager;
 - ii) must not supervise more than a single pit at a time;
 - iii) must actively monitor the table games they have been assigned to and respond to any table issues within a reasonable period of time; and
 - iv) must notify the pit supervisor immediately when increased player levels warrant additional pit supervision to ensure the integrity of the games is maintained.
- h) are able to conduct table game activities directly if there is adequate pit supervision to cover their assigned area; and
- i) may perform both g) and h) of this section at the same time where adequate coverage is available (e.g., games manager).

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.7 GAMES MANAGER**

11.7.1 The games manager is directly responsible to the general manager of the charity and is the supervisor of the games area in the casino.

- a) the games manager may temporarily perform or assume any duty of a registered gaming worker (except for the manager of security, surveillance manager, or casino manager) provided it does not detract from the ability to perform their duties listed in this section; and
- b) the games manager must report any error or procedural irregularities in games operations (including but not limited to any breach of public order) to the general manager and must ensure a Discrepancy Report with details is submitted to AGLC within 24 hours of the event.

11.7.2 Each casino is required to have a registered games manager on duty when the casino is in operation.

- a) the games manager may be relieved for a break (e.g., for a meal) that is no longer than one hour as long as the games manager remains on site:
 - i) where the games manager is required to leave the facility during table operations, the casino facility licensee is responsible for ensuring that another games manager with valid registration is assigned to cover the shift; and
 - ii) the games manager must inform the general manager of any absence and provide the name of their alternate.
- b) the games manager must maintain a visible presence in the facility and be available to the charity at all times; and
- c) where only slot operations are occurring within the facility, a slot manager may be utilized in lieu of a games manager.

11.7.3 The games manager must ensure the conduct of the casino event is in compliance with this handbook.

11.7.4 The games manager must perform the following duties or they may be delegated to the roles identified in Subsection 11.6.2:

- a) shift schedules are prepared, and co-ordinate gaming staff breaks;

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- b) supervise pull of all drop boxes for interim and final counts:
 - i) where this duty is delegated, the games manager must provide a discrepancy report.
- c) ensure all drop boxes are attached to the correct table before and after each pull; and
- d) ensure security of games, including control and access to keys for chip trays.

Note: Where these duties are delegated, the game manager still has responsibility to ensure these duties are performed correctly.

11.7.5 The games manager must perform and not delegate the following duties:

- a) ensure all casino workers are currently registered with AGLC;
- b) the movement of cards to and from secure storage to the pits:
 - i) in conjunction with the facility licensee, must ensure used cards are retained for a minimum of 14 days and are defaced before releasing them.
- c) submission and proposal of new hours rules to AGLC for review are provided at least 14 days before implementation;
- d) ensure the facility tip policies and handling procedures outlined in Section 4.3 are adhered by staff; and
- e) ensure all facility keys used for table operations are returned in secure storage prior to closing each day.

11.7.6 The casino facility licensee must ensure that registered games managers employed by the licensed facility maintain the necessary training and proficiency to perform their duties and maintain compliance with AGLC policies. *(Added May 2024)*

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11.8 SECURITY AND SURVEILLANCE

11.8.1 All security/surveillance staff, supervisors and managers must:

- a) monitor and report to their supervisor any suspected criminal activities and suspicious activities including:
 - i) surveillance staff will communicate with relevant staff members (e.g., slot supervisor, table game supervisor, security personnel and games manager) any suspected criminal activities and suspicious activities;
 - ii) where required, contact local authorities; and
 - iii) the surveillance manager, manager of security or games manager must contact AGLC immediately of any and all suspicions or evidence of cheating at play, theft or other illegal activity.
- b) be provided access by the casino facility licensee to update banned and SE patron lists (e.g., CGIN):
 - i) procedures must be developed to ensure the surveillance/security team are properly notified and respond to any suspected banned or SE patrons.

Note: any physical copies or print outs of banned/SE patrons must be kept secure at all times and not be provided or be accessible to members of the public.

- c) be trained in the use and operation of surveillance system equipment and the alarm monitoring program;
- d) ensure access logs are maintained in accordance with Subsection 4.7.3;
- e) and are made available immediately upon request by an AGLC Inspector:
 - i) and where a log is maintained or assigned to a specific role of security/surveillance, registered workers of security/surveillance must have knowledge of where the log is maintained.
- f) complete Discrepancy Reports as required; and

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- g) ensure duties are completed in accordance with AML procedures (see Section 8).

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.9 SECURITY GUARD**

11.9.1 The security guard is responsible to the 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).

11.9.2 The casino facility licensee must ensure that a security guard is always on duty with additional guards being required as follows:

- a) when slot operations are active, a minimum of two guards are required;
- b) casino facilities with 16 tables or more with active tables (excluding poker), three security guards are required; and
- c) for facilities with 15 tables or less. The casino facility licensee may reduce the above requirement by one security guard by choosing to use a registered gaming worker, who is employed by the facility, at the public entrance(s) to monitor entry access and conduct ID checks of anyone that appears to be under the age of 25 as identified in Section 3.1:
 - i) the registered gaming worker must not be assigned to any other tasks when they are performing this role.

Note: There must always be one security guard on duty that holds a valid security guard registration and assigned to work the casino floor.

11.9.3 All active entrances open to the public must have a security guard stationed to ensure entry access and ID provisions are complied with.

- a) Secure entrances (where a person must be granted access by a casino employee) may be monitored by registered gaming workers performing other duties (e.g., housemen in the 24 poker room after hours) as outlined in 11.9.2 c).

11.9.4 Security guard(s) must provide security (escort) where requested by the advisor, manager of security, games manager or slot supervisor/manager for:

- a) table game chip fills/credits;

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- b) the pull of drop boxes (tables), cash boxes (slots) or bill acceptors (slots); and
- c) matters related to gaming terminals or TRKs.

11.9.5 Upon request from the manager of security (see Section 4.7), provide an escort for approved casino staff, approved third party contractors or an AGLC contractor when accessing any restricted area.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.10 MONITOR ROOM PERSONNEL**

11.10.1 Monitor room personnel are responsible to the surveillance manager and games manager.

11.10.2 Monitor room personnel must:

- a) ensure they have experience and training from the casino facility licensee in casino gaming disciplines;
- b) maintain a high level of knowledge of:
 - i) all casino and gaming terminals;
 - ii) opening and closing procedures;
 - iii) cash cage, count room and slot bank procedures; and
 - iv) methods of cheating:
 - staying current with trends, cheat at play methodology, suspects and other casino security concerns.
- c) ensure all surveillance equipment (e.g., cameras, alarm monitoring program and recording equipment) are in good operational condition. Maintain a numbered page logbook, dating and initialing when the routine checks are completed;
- d) ensure that live camera monitoring is in place and a video 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;
 - ii) gaming terminals;
 - iii) cash cage and count room;
 - iv) floor security procedures;
 - v) slot areas; and
 - vi) money counting machines and changers.

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- e) secure, label and control all casino recordings for a minimum period of 15 days, including:
 - i) maintaining a control log for all recordings secured identifying the:
 - recording by control number;
 - the event date; and
 - the surveillance operator.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.11 SURVEILLANCE MANAGER**

11.11.1 The casino facility may identify and assign the manager of security in lieu of a surveillance manager, where both positions are employed by the casino facility licensee, the responsibility is shared by both roles unless otherwise identified by the facility licensee.

- 11.11.2 The surveillance manager (or manager of security) is responsible for:
- a) developing and implementing policies and procedures regarding surveillance operations which are consistent with the CTCOG;
 - b) preparing/updating a surveillance plan:
 - i) ensuring that adding, relocating, reconfiguring or removing camera coverage meets all AGLC standards as specified in Section 5.
 - c) hiring and training monitor room personnel;
 - d) ensuring the security guard duties are operated independently from the monitor room personnel duties; and
 - e) ensuring all surveillance equipment and the alarm monitoring programs are in proper working order.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.12 MANAGER OF SECURITY**

11.12.1 The manager of security is responsible for the security and surveillance of the casino facility. A manager of security holding a valid registration may be assigned by their employer to multiple casino properties.

11.12.2 The manager of security's responsibilities include:

- a) developing and implementing policies and procedures for security operations that are consistent with the CTCOG;
- b) reviewing all requests by casino staff, security or an AGLC contractor for access to any AGLC server room in accordance with Section 4.7;
- c) hiring and training security guards:
 - i) ensuring security guards are properly trained in respect to arrest, detention and charter requirements).
- d) ensuring control of access cards and/or keys to secured areas of the casino facility.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.13 REGISTERED SLOT WORKERS**

11.13.1 The casino facility licensee must maintain employment/shift logs and identify to AGLC, upon request, who is designated to be a slot supervisor or manager at their facility for a specific day. There must always be a supervisor or manager on-duty while slot operations are active.

11.13.2 Registered slot workers are to perform their role in accordance with Sections 11.13 and 13 of this handbook.

11.13.3 Any suspected unlawful behaviour must be reported to the registered gaming worker's supervisor as soon as it is possible to do so without alerting the suspect.

Note: The slot manager or games managers must contact AGLC immediately of any and all suspicions or evidence of cheating at play or other illegal activity.

11.13.4 Only employees designated as slot supervisor or slot manager per 11.13.1 or games manager can resolve any gaming irregularities related to gaming terminals based on technical recommendations and contact AGLC Customer Care to dispatch a technician where required.

11.13.5 The casino facility licensee must only use registered slot workers to conduct any gaming terminal activities/ transactions (e.g., TITO paper refill, bill jam clearing, pull of cash boxes/bill acceptors, hand pays, etc.) and slot cash cage operations (e.g., TITO ticket redemption). This includes TRK related duties.

- a) The slot supervisor/manager is responsible for the security of gaming terminal keys and employee cards; and
- b) the slot supervisor/manager must perform hand pays of \$25,000 or greater.

11.13.6 Any reports required by AGLC (e.g., soft count report, XML file, etc.) must be completed by a registered slot worker and be accurate and submitted in a manner/ format acceptable to AGLC.

Note: Prior to submitting any report to AGLC related to the slot count, the slot supervisor/manager must:

- a) review the document and confirm its accuracy;

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- b) complete Discrepancy Reports as required (see Section 5.6);
and
- c) ensure duties are performed in accordance with AML
procedures (see Section 8).

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.14 CASINO MANAGER**

- 11.14.1 Only one person employed by the casino facility licensee may hold the position of casino manager. The casino manager must not enter into nor attempt to enter into operational procedures of a games pit unless they hold a valid games manager registration.

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SECTION: 11. REGISTERED GAMING WORKER REQUIREMENTS**11.15 CASINO FACILITY OPERATOR REPRESENTATIVE**

11.15.1 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) shall not have any authority for rulings or decisions on casino table games; and
- c) shall be allowed into the cash cage or count room when issuing or receiving casino float and/or casino chip inventory.

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SECTION: 12. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS**12.1 FINANCIAL REPORTING****12.1.1 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 12.1.3);
 - 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.

12.1.2 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 12.1.2.

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- 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 12.1.2.
- 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 per cent, 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

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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.

12.1.3 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.

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SECTION: 12. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS**12.2 INFORMATION TECHNOLOGY (IT) STANDARDS**

12.2.1 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:

- a) entity level controls;
- b) security management controls;
- c) systems development and change management controls;
- d) system operations controls;
- e) network management controls; and
- f) third party services controls.

12.2.2 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.

SECTION: 13. ELECTRONIC GAMING**13.1 GENERAL**

13.1.1 Gaming terminals, including slot machines, electronic table games 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. The Electronic Games – Casino Retailer Agreement is available at aglc.ca.

13.1.2 Progressive jackpot verification and payment:

- a) the casino facility licensee must:
- i) notify AGLC's Customer Care 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 AGLC's Customer Care for progressive jackpot verification and payment.

13.1.3 The casino facility licensee must ensure that play on a gaming terminal that appears to be malfunctioning is discontinued immediately.

13.1.4 The casino facility licensee must have required funds and trained staff available for payment of player's winnings to which players are entitled.

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SECTION: 13. ELECTRONIC GAMING**13.2 SLOT OPERATIONS**

- 13.2.1 Game instructions and pay-out tables are available on each slot terminal and electronic table game.
- 13.2.2 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).
- 13.2.3 The float and financial controls for the slot operation must be maintained separate from all other casino financial transactions and controls.
- 13.2.4 Casino facility licensees must complete the Alberta Progressive Jackpot Receipt Form (form 6593) for local area and stand-alone progressive wins over \$25,000 and all wide area progressive jackpot wins. One copy of the form must be provided to the jackpot winner and another to AGLC.

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SECTION: 13. ELECTRONIC GAMING**13.3 PAYMENT OF TICKET IN TICKET OUT (TITO) TICKETS**

13.3.1 TITO tickets must be immediately redeemed and paid when presented subject to the following conditions:

- 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 13.3.2);
- c) TITO tickets for slot machines or electronic table games exceeding \$2,500 must be redeemed at the slot cash cage.

13.3.2 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.

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SECTION: 13. ELECTRONIC GAMING**13.4 TICKET IN TICKET OUT (TITO) TICKET RETENTION AND DESTRUCTION**

13.4.1 Redeemed TITO tickets are to be retained by the casino as the casino's proof of transaction.

13.4.2 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:

- 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 c) tickets that have any other extraordinary circumstances (e.g., involved in a patron dispute).

13.4.3 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.

13.4.4 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.

13.4.5 All TITO tickets must be destroyed using a crosscut 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;

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- 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.

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SECTION: 13. ELECTRONIC GAMING**13.5 REMUNERATION - SLOT OPERATIONS**

13.5.1 AGLC pays remuneration related to slot machine operations as follows:

- 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) Casino facility licensees are also provided a temporary investment commission of two per cent of slot machine total net sales from April 1, 2023, until March 31, 2025.
- c) Total net sales is calculated as total in, less total out, less progressive increments.
- d) 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 17.6, Pooling.

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13.6 PAYMENT TO AGLC - SLOT OPERATIONS

- 13.6.1 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.
- 13.6.2 Failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment.

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SECTION: 13. ELECTRONIC GAMING**13.7 PAYMENT OF VLT CASH-OUT TICKETS**

13.7.1 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 13.8);
- 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 13.7.2).

13.7.2 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.

13.7.3 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. (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 Customer Care to report the incident and seek further instructions.

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SECTION: 13. ELECTRONIC GAMING**13.8 VLT CASH-OUT CROSS-VALIDATION**

- 13.8.1 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 13.7.1 c)).
- 13.8.2 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.
- 13.8.3 Cross-validation sites must ensure all staff responsible for cross validating VLT cash-out tickets from another location receive instruction in cross-validation procedures.
- 13.8.4 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.
- 13.8.5 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.
- 13.8.6 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 Subsection 3.1.4) and confirm that the name on the back of the cash-out ticket is the same name that appears on the I.D.; and

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- c) where a discrepancy exists, the cross-validation site should not pay the prize and contact AGLC's Customer Care to report the incident and seek further instructions.

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SECTION: 13. ELECTRONIC GAMING**13.9 VLT CASH-OUT TICKET RETENTION AND DESTRUCTION**

13.9.1 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) crosscut – 4mm or less.

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13.10 REMUNERATION - VLT OPERATIONS

13.10.1 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.

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SECTION: 13. ELECTRONIC GAMING**13.11 PAYMENT TO AGLC - VLT OPERATIONS**

13.11.1 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.

13.11.2 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.

13.11.3 Failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment.

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SECTION: 14. APPLICATION PROCESS FOR NEW LICENSED CASINO FACILITIES**14.1 GENERAL**

- 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 market area 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 new 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;

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- 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.
- 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

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- e) an Indian reserve as determined by Crown-Indigenous Relations and Northern Affairs Canada (CIRNAC) located within the provincial boundaries of Alberta.

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14.2 FOUR-STEP APPLICATION PROCESS

(Amended Mar 2024)

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 market area:

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 market area.

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 market area identified in a Request for an Expression of Interest.

14.2.5 AGLC will advise all the councils located within the specified market area, 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 market area.

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- 14.2.6 A Request for an Expression of Interest will:
- a) identify the specified market area in which the proposed new facility would be located; and
 - b) be publicly advertised by AGLC in the specified market area.
- 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.

Application Process

- 14.2.11 Applicants must provide a detailed minimum three-year business plan which clearly articulates the concept proposal and contains all

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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 revenue forecast, including:
 - revenue sources (e.g., slot machines, table games, and other revenue sources, such as a hotel, food and beverage services etc.);
 - cannibalization of revenue from existing gaming facilities (see Subsection 14.2.17)
 - details of the methods and assumptions used in the market assessment; and
 - a risk assessment.
 - ii) a marketing plan, including planned total marketing investment, 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 (including any plans or requirements from City authorities for changes to traffic lights, signage, or city construction approvals including status of said approvals);
 - iii) a description of any additional amenities to the casino facility such as a hotel, food and beverage services, entertainment, etc. and an **outline** of any future phases of development identified in the business plan, if applicable;

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- iv) the total number of slot machines, table games and other gaming devices proposed;
 - v) a description of the facility's security features; and
 - vi) the construction costs and schedule.
- d) minimum three-year pro forma financial statements that must include:
- i) both income and balance sheet statements;
 - ii) revenue streams broken down by slot machines, table games and other gaming and non-gaming revenue sources;
 - iii) operational expenses categorized and described in detail;
 - iv) 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; and
 - v) cash flow projections and sensitivity analysis of projections, including the:
 - total financing costs;
 - terms of financing; and
 - total capital (construction) and operational costs.
- e) the legal structure of the organization, including:
- i) a description of the Applicant's ownership or legal structure;
 - ii) all directors or officers of the organization; and
 - iii) if financing is required, who will be the lender, and what are the terms of the credit agreement, etc.

14.2.12 The physical location of the proposed new facility must be submitted as part of the Application (including a map). It must remain unchanged throughout the process.

14.2.13 AGLC does not require municipal land use, zoning and development approval for the purposes of the Initial Assessment.

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14.2.14 Upon receipt of an Application which meets all the requirements in Subsection 14.2.11, AGLC will assess and validate the information to determine whether the Application can move to Step 2 – Application Selection.

14.2.15 After the deadline for Application submission, Step 2: Application Selection may be initiated.

STEP 2 – APPLICATION SELECTION

14.2.16 Following from Subsection 14.2.15, Applications for a casino facility in a specified market area are assessed on a number of factors 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) additional factors, including but not limited to:
 - i) new gaming revenue;
 - ii) impact on existing gaming facilities in or around the market area (i.e., casinos, RECs, video lottery retailers and bingo halls);
 - iii) review and validation of the: market assessment, gaming market considerations and priorities, cannibalization, proximity to other licensed gaming facilities, population density, economic outlook, and expansion of an area;
 - iv) benefit to charities due to the proposed the new casino facility;
 - v) capital expenditure;
 - vi) employment opportunities;
 - vii) economic benefit to community; and
 - viii) ownership concentration in the province.

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- 14.2.17 As part of the assessment, the Application will not move to Step 3 – Community Support and Background Check, if:
- a) cannibalization would be 15 per cent or more of the gaming revenues from any one existing gaming facility, as determined by AGLC; and
 - b) AGLC’s investment (costs) involved has a payback period of more than 18 months.
- Note: The calculation for b) is based on new incremental revenues generated less commissions paid to the casino facility licensee and charities.
- 14.2.18 The evaluation of Applicants will be conducted by a Casino Facility Applicant Evaluation Committee ("Committee") internal to AGLC.
- 14.2.19 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).
- 14.2.20 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.
- 14.2.21 The committee will report the results of its evaluations and recommendations to the Board. The Board may initiate Step 3: Community Support and Background Check.
- 14.2.22 Where an Application is allowed to move to Step 3 – Community Support and Background Check, AGLC will also notify existing licensees of the Application (see also Subsection 2.4.2).
- 14.2.23 Where an Application is not allowed to move to Step 3 – Community Support and Background check, the Applicant 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*.

SECTION: 14. APPLICATION PROCESS FOR NEW LICENSED CASINO FACILITIES**STEP 3 – COMMUNITY SUPPORT AND BACKGROUND CHECK****Community Support**

14.2.24 Following from Subsection 14.2.21 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.

14.2.25 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.

14.2.26 The Board may also choose to consider the views of adjacent communities in the specified market area 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.

14.2.27 The Board will not consider any conditions placed on or attached to a council resolution respecting a new casino facility in the community.

14.2.28 The Applicant will be required to issue a public notice in the community and adjacent communities (at AGLC's sole discretion) advising of its proposed new casino facility.

The notice must:

- a) specify the addresses within the community affected by the new casino facility; and
- b) be approved by AGLC for its content, layout, frequency and proposed media prior to being published.

Note: social media platforms may be used in conjunction with newspaper media to issue the public notice.

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14.2.29 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 2.4).

Background Check

14.2.30 Following from Subsection 14.2.21 the Board may direct AGLC to conduct a thorough background check into one or more selected Applicants.

14.2.31 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 2.6 of the CTCOG.

14.2.32 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 13.2 of the Gaming, Liquor and Cannabis Regulation.

14.2.33 AGLC will report the results of the background check to the Board.

14.2.34 The Board will determine whether an Applicant meets the requirements of the background check.

14.2.35 If the Board determines an Applicant has failed to meet the requirements of the background check, the Application is rejected.

14.2.36 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.

14.2.37 If the Board at its sole discretion decides to continue the approval process, Step 4: Construction and Licensing may be initiated.

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14.2.38 If the Board at its sole discretion decides to end the approval process for the new the casino facility in the specified market area, the process shall end.

14.2.39 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

14.2.40 Following from Subsection 14.2.37 the Board may make a determination to issue a conditional approval and advise the Applicant in writing it can proceed with construction.

14.2.41 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*).

14.2.42 The Board may at its sole discretion refuse to issue a casino facility licence if:

- a) the Applicant has:
 - i) misled the Board;

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- ii) provided inaccurate or incomplete information with regards to its licence Application;
 - 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.
- 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.
- 14.2.43 If the Board refuses to issue a casino facility licence under the authority of Subsection 14.2.42, 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. CASINO FACILITY EXPANSION, RELOCATION AND RENOVATIONS

15.1 EXPANSION OR RELOCATION OF A CASINO FACILITY – GENERAL

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.
- 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.

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 Crown-Indigenous Relations and Northern Affairs Canada (CIRNAC) located within the provincial boundaries of Alberta.

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.

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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.

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SECTION: 15. CASINO FACILITY EXPANSION, RELOCATION AND RENOVATIONS**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 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 15.4.1).

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;

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- 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;
 - 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

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- 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 2.6).

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.

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- 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.

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- 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.

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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;

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- 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.

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SECTION: 15. CASINO FACILITY EXPANSION, RELOCATION AND RENOVATIONS**15.3 RELOCATION OF A CASINO FACILITY***(Amended Mar 2024)*

15.3.1 In this section, "relocation" means the relocation of an existing licensed casino facility to a new physical address within its defined market area, as prescribed by AGLC, for the purpose of serving its existing player base or market area.

15.3.2 AGLC may refuse to consider an Application if the proposed relocation of the existing casino facility is intended to be:

- a) outside of the casino facility licensee's defined market area (for new casino facility licensing, see Section 14); or
- b) for the purpose of changing the class (e.g., casino or REC) or type (e.g., traditional casino facility or First Nation casino facility) under which the gaming facility licence was established.

15.3.3 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

15.3.4 If at any time the Applicant 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

15.3.5 An Applicant initiates this step by providing to AGLC an Application in writing for the relocation of an existing licensed casino facility.

15.3.6 The Application must include a detailed minimum three-year business plan which clearly articulates the rationale for the proposed relocation and contains all required information related to the relocation of the casino facility, including, but not limited to:

- a) a market assessment, including:
 - i) a revenue forecast, including:

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- revenue sources (e.g., slot machines, table games, and other revenue sources, such as a hotel, food and beverage services etc.);
 - cannibalization of revenue from existing gaming facilities (see Subsection 15.3.11);
 - methods and assumptions used in the market assessment; and
 - a risk assessment.
- ii) a marketing plan, including planned total marketing investment, 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).
- b) the physical design of the facility, including:
- i) the legal address, site plans, drawings, blueprints, etc.;
 - ii) the impact on traffic and parking in the area (including any plans or requirements from municipal authorities for changes to traffic lights, signage, or municipal construction approvals including status of said approvals);
 - iii) a description of any additional amenities to the casino such as a hotel, food and beverage services, entertainment, etc. and an outline of any future phases of development identified in the business plan, if applicable;
 - iv) the total number of slot machines, table games and other gaming devices proposed;
 - v) a description of the facility's security features; and
 - vi) the construction costs and schedule.
- c) minimum three-year pro forma financial statements that must include:
- i) both income and balance sheet statements;

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- ii) revenue streams broken down by slot machines, table games and other gaming and non-gaming revenue sources;
 - iii) operational expenses categorized and described in detail; and
 - iv) 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;
 - v) cash flow projections and sensitivity analysis of projections, including the:
 - total financing costs;
 - terms of financing; and
 - total capital (construction) and operational costs.
 - d) the legal structure of the organization, including:
 - i) a description of any changes in the licensee ownership or legal structure;
 - ii) any new directors or officers of the organization; and
 - iii) 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 2.6).
- 15.3.7 The physical location of the proposed new facility must be submitted as part of the Application (including a map). It must remain unchanged throughout the process.
- 15.3.8 AGLC does not require municipal land use, zoning and development approval for the purposes of the Initial Assessment.
- 15.3.9 Upon receipt of an Application, which meets all the requirements in Subsection 15.3.6, AGLC will assess and validate the information to determine whether the proposed relocation can move to Step 2-Community Support.

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15.3.10 The Step 1 – Initial Assessment process will take into consideration factors such as, but not limited to, the:

- a) completeness and accuracy of information in the Application;
- b) benefit or other impact to charities, including wait times for access to casino events and gaming proceeds in both the existing and new location should the proposed casino facility relocation take place;
- c) review and validation of the: market assessment, gaming market considerations and priorities, feasibility of the proposed new facility, projected gross gaming revenue, cannibalization, proximity to other licensed gaming facilities, population density, economic outlook, and expansion of an area;
- d) impact to existing or approved gaming facilities (i.e., casinos, RECs, video lottery retailers and bingo halls) in the proposed new location; and
- e) financial impacts to AGLC, including the:
 - i) return on investment by AGLC;
 - ii) impact to the General Revenue Fund; and
 - iii) impact to other GOA funding programs supported by gaming revenues.

15.3.11 As part of the assessment, the Application will not move to Step 2 – Community Support, if:

- a) cannibalization would be 15 per cent or more of the gaming revenues from any one existing gaming facility, as determined by AGLC; and
- b) AGLC's investment (costs) involved in the relocation process has a payback period of more than 18 months.

Note: The calculation for b) is based on new incremental revenues generated less commissions paid to the casino facility licensee and charities.

15.3.12 At the completion of Step 1 - Initial Assessment, AGLC will determine in its sole discretion whether to allow the Application to proceed to Step 2: Community Support and notify the Applicant.

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15.3.13 An Application that is allowed to move forward in the approval process shall not be considered or promoted as an endorsement by AGLC of a relocation of the licensed casino facility.

15.3.14 Where an Application is allowed to move to Step 2 – Community Support, AGLC will also notify existing licensees of the Application (see also Subsection 2.4.2).

15.3.15 Where an Application is not allowed to proceed to Step 2 – Community Support, 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*.

STEP 2 – COMMUNITY SUPPORT

15.3.16 In Step 2 – Community Support, AGLC may consider the views of the community including the views, if any, expressed by a council in relation to a proposed casino relocation.

15.3.17 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.

15.3.18 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.

15.3.19 AGLC will not consider any conditions placed on or attached to a council resolution respecting a casino relocation in the community.

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15.3.20 Applicants are required to issue a public notice in the community and adjacent communities (at AGLC's sole discretion) advising of the proposed relocation. The notice must:

- a) specify the addresses within the community affected by the relocation; and
- b) be approved by AGLC for its content, layout, frequency and proposed media prior to being published.

Note: social media platforms may be used in conjunction with newspaper media to issue the public notice.

15.3.21 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 2.4).

15.3.22 Having considered the views of the community, AGLC, at its sole discretion, may:

- a) move the Application to Step 3: Approval and Licensing; or
- b) refuse to approve a proposed licensed facility relocation and notify the Applicant of the same.

15.3.23 Where the Application is refused, the Applicant 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

15.3.24 Where the Application is allowed to move to Step 3 - Approval and Licensing, the Board may issue a conditional relocation approval and advise the Applicant in writing it can proceed with construction.

15.3.25 The Board may approve the Application if the Applicant has met all of the requirements of the conditional approval and can:

- a) demonstrate compliance with the approved structure and amenity requirements;

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- b) demonstrate compliance with all pertinent provincial and federal legislation, regulation and policies;
- c) demonstrate compliance with all pertinent 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).

15.3.26 The Board may, at its sole discretion, refuse to approve an Application at any step in the Application process, including if:

- a) the Applicant has:
 - i) misled the Board;
 - 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.
- b) the Applicant is determined to be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries;
- 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.

15.3.27 If the Board refuses to approve an Application under the authority of Subsection 15.3.26, 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*.

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15.4.1 A casino facility licensee planning to undertake renovations or structural changes must contact AGLC and present plans of the proposed renovation. Prior written approval from AGLC must be provided by AGLC before making any changes. Proposals for renovations or structural changes to areas within the casino facility that do not currently meet the minimum requirements outlined in these policies must include compliance with these requirements once the renovations or structural changes have been completed.

Note: Renovations covered by this policy are limited to changes within the existing building envelope or minor additions to the existing casino facility.

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SECTION: 16. CASINO FACILITY LICENCE**16.1 GENERAL**

- 16.1.1 The Board may issue a casino facility licence for a period of up to six years, as specified on the licence.
- 16.1.2 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.
- 16.1.3 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.
- 16.1.4 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.
- 16.1.5 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 13.2 of the Gaming, Liquor and Cannabis Regulation.
- 16.1.6 The Licence/Registration Application Package consists of the following:
- a) Application for Background Check (Form 5675);
 - b) Corporation, Partnership, LLC, Trust or Other Disclosure (Form 5677);
 - c) Personal Disclosure (Form 5676);
 - d) Consent to Records Check and
 - e) \$10,000 deposit or another specified amount to cover the cost of the background checks pursuant to section 13.2 of the Gaming, Liquor and Cannabis Regulation.

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16.1.7 AGLC will open a background check maintenance file after the issuance of a casino facility licence. This will include, but is not limited to:

- 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;
- 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.

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SECTION: 16. CASINO FACILITY LICENCE**16.2 SALE AND PURCHASE OF A CASINO FACILITY**

16.2.1 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.

16.2.2 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.

16.2.3 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:

- 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.

16.2.4 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:

- 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.

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- 16.2.5 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 16.2.3 and 16.2.4 of these terms and conditions:
- 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.
- 16.2.6 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 16.2.5 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*.
- 16.2.7 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:
- 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.
- 16.2.8 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 16.2.7:
- 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.

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- 16.2.9 Pursuant to section 30.3(3) of the Gaming, Liquor and Cannabis Regulation, where the Board refuses to approve a financial interest, under Subsection 16.2.8 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*.
- 16.2.10 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;
 - c) is a person whose background, reputation and associations will not result in adverse publicity for the Province of Alberta and its 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.
- 16.2.11 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.

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16.2.12 The number of casino facility licences in the province is determined by AGLC.

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16.3 APPOINTMENT OF RECEIVER AND MANAGER

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

16.3.2 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.

16.3.3 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.

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- 16.3.4 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.
- 16.3.5 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.
- 16.3.6 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.
- 16.3.7 The Court may at any time revoke an appointment of a receiver and manager and appoint another receiver and manager.
- 16.3.8 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.
- 16.3.9 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.

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SECTION: 17. LICENSED CHARITY**17.1 GENERAL**

- 17.1.1 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). The CTCOG is available at aglc.ca.
 - 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.
- 17.1.2 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.
- 17.1.3 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.
- 17.1.4 AGLC may issue a casino licence to eligible agricultural societies and charitable organizations, which operate major exhibitions or summer events, to conduct and manage a casino event at a licensed casino facility located within the same region in which the exhibition or summer event is being held.
- Note: A major exhibition or summer event is defined as an event held for a minimum of four days within a specified community.

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SECTION: 17. LICENSED CHARITY**17.2 SERVICE AGREEMENT WITH CASINO FACILITY**

17.2.1 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. Casino facility service agreements must not guarantee returns or be used to entice financial inducements by either party.

17.2.2 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 (including electronic table games), 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 (including electronic tables games), 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.

17.2.3 For casinos outside of Edmonton and Calgary that increase their number of slot machines (including electronic table games) 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.

17.2.4 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.

17.2.5 The casino facility licensee may keep table game surpluses generated at casino events to cover table game deficits which may occur at

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subsequent casino events. Net accumulated surpluses that exist at the end of each pooling period will be collected by AGLC through electronic funds transfer.

- 17.2.6 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.

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SECTION: 17. LICENSED CHARITY**17.3 ADVISOR SERVICES**

17.3.1 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.

17.3.2 Cash cage advisor fees must not exceed:

- a) Edmonton, St. Albert and Calgary: \$1,488/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).
- b) All others: \$1,074/event (plus applicable taxes) plus \$45/hour for each extra hour the table games are open longer than 14 hours/day.

17.3.3 Count room advisor fees must not exceed:

- a) Edmonton, St. Albert and Calgary: \$661 (plus applicable taxes).
- b) All others: \$578 (plus applicable taxes).

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SECTION: 17. LICENSED CHARITY**17.4 VOLUNTEER REQUIREMENTS**

17.4.1 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).

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SECTION: 17. LICENSED CHARITY**17.5 EVENT EXPENSES**

17.5.1 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.

17.5.2 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:

- a) food and refreshment expenses for volunteers while they are working at the casino event, must not exceed:
 - i) Edmonton, St. Albert and Calgary casinos: \$1,175 (GST included).
 - ii) All others: \$705 (GST included).

17.5.3 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.

17.5.4 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.

17.5.5 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.

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SECTION: 17. LICENSED CHARITY**17.6 CASINO POOLING**

17.6.1 Casino pooling means the collection of all casino proceeds (and/or losses) over a three-month period of time (as specified in Subsection 17.6.3) 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 charities from electronic games played on slot machines (see Subsection 13.5.1 c)).

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

17.6.3 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: Ace Casino Blackfoot in Calgary does not pool its table game proceeds with other casinos in Calgary);
- b) licensed charities conducting 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 charities must 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.

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

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17.6.5 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 reimbursement 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.

17.6.6 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.

17.6.7 Advances to any licensed charity from the pool prior to the end of the pooling period are prohibited.

17.6.8 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

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- d) once the overall Pool A deficit has been calculated, the deficit will be offset by an equal amount from Pool B containing the commissions from electronic games played on slot machines accumulated during the pooling period.

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.

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SECTION: 17. LICENSED CHARITY**17.7 GAIN TRAINING**

17.7.1 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.

17.7.2 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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SECTION: 18. CHARITY VOLUNTEER/CHARITY WORKER DESCRIPTIONS**18.1 ELIGIBILITY REQUIREMENTS**

18.1.1 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. Additional information regarding eligibility requirements for charity workers may be found in Section 3.2 of the Host First Nation Charitable Casino Policies Handbook (HFNCCPH).
- c) Charity workers' wages shall be subject to AGLC approval.
- d) A person is not eligible to work in a casino if the person:
 - i) 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 *Income Tax Act* (Canada);
 - 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
 - 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);

and, 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

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

18.1.2 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.

18.1.3 AGLC may provide modified requirements for the charity to reduce charity staffing in extenuating circumstances and combine charity roles to accommodate this reduction.

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SECTION: 18. CHARITY VOLUNTEER/CHARITY WORKER DESCRIPTIONS**18.2 CONDUCT**

- 18.2.1 All volunteer staff/charity workers must have their roles assigned through CasinoTrack and conduct themselves in accordance with the CTCOG.
- 18.2.2 No volunteer staff or charity worker shall work more than one position during the casino licence period except:
- a) the general manager may assign a count room worker to witness table closing chip counts. This must not interfere with count room duties;
 - 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; and
 - c) the charity may combine the counter with either the duties of the sorter or the recorder (not both). Duties specific to the sorter or recorder can be found in Sections 7.5, 18.8 and 18.10.
- 18.2.3 Volunteer staff and charity workers must wear a name badge while on duty showing first or common name, position, and date of casino.
- 18.2.4 All volunteer staff and charity workers are prohibited from playing casino games or gaming terminals (including slot machines, electronic table games and VLTs) where they are working for the duration of their licensed charity's event.
- 18.2.5 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.
- 18.2.6 Volunteer staff and charity workers are prohibited from cashing cheques or extending credit.

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

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- 18.3.1 The general manager is responsible for all aspects of the casino and operates the event in consultation with the games manager to ensure the casino is conducted in accordance with the CTCOG.
- 18.3.2 The general manager ensures all volunteer staff/charity workers are present for the casino event prior to their scheduled shift.
- 18.3.3 The general manager may temporarily perform the duties of any volunteer staff/charity worker. Should the position being covered not return in a reasonable period (example: one hour) or is not expected to return, the general manager may assign another volunteer staff/charity worker to the role (Discrepancy Report required).
- 18.3.4 Prior to the end of the event, the general manager will sign off on all discrepancy reports in addition to the advisor or games manager.
- 18.3.5 The general manager will ensure 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.

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SECTION: 18. CHARITY VOLUNTEER/CHARITY WORKER DESCRIPTIONS**18.4 BANKER**

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

18.4.2 The banker is responsible to ensure:

- a) the security and control of the chip/cash inventory during their shift; and
- b) the cashiers retain personal control of chips and cash while on duty.

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SECTION: 18. CHARITY VOLUNTEER/CHARITY WORKER DESCRIPTIONS**18.5 CASHIER**

18.5.1 Accountable to the banker, the cashier provides services to casino patrons, exchanging casino chips for cash. The cashier must not:

- a) sell or exchange any chips for currency;
- b) conduct any cash-outs over \$200 without the transaction being witnessed by the general manager, banker or advisor; and
- c) accept chips from another casino facility.

18.5.2 The cashier maintains the security of the chips and cash in their station while on duty, securing their station when not in use or on break.

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18.6.1 Using CasinoTrack, the chip runner acts as an intermediary between the charity and the casino facility:

- a) verifying the accuracy of chips while accepting, opening, closing or returning game tables on the floor; and
- b) ensuring chips are accurately transported to and from the chip bank and game tables.

Note: The chip runner may assist the general manager during pull of drop boxes.

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18.7 COUNT ROOM SUPERVISOR

18.7.1 The count room supervisor is directly accountable to the general manager for supervision of count room procedures and count room staff and ensuring the count room is secured while on duty.

18.7.2 At the end of the count, the count room supervisor will generate the Master Revenue Report and Count Room Drop Box Verification on CasinoTrack.

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18.8.1 The sorter is responsible for preparing the drop boxes for the count team, including:

- a) emptying a drop box's contents on the table;
- b) showing the camera the box is empty; and
- c) sorting the contents for the counter.

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18.9.1 The counter is responsible for:

- a) counting the contents of each individual box identified by the "Box ID Card";
- b) reporting the totals to the recorders; and
- c) providing the bills to the amalgamator for final verification.

Note: The counter may assist the sorter.

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18.10 RECORDER

18.10.1 The recorder enters information provided by the counter into the CasinoTrack system for each box identified by the "Box ID Card".

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18.11.1 The amalgamator is responsible for:

- a) performing the final count of the contents of each individual drop box identified by the "Box ID Card";
- b) reporting the totals to the Count Room Supervisor; and
- c) placing cash of the same denomination in bundles of one hundred (where applicable) after the totals are verified from the first count.

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SECTION: 19. FORMS

- 19.1.1 The following AGLC forms can be accessed at aglc.ca/forms:
- a) Reconciliation of Casino Win/Loss and Pool Contributions
 - b) Daily Summary Report
 - c) Banker's Daily Master Chip/Cash Control
 - d) Cashier's Daily Record
 - e) Master Revenue Report
 - f) Count Room Reconciliation
 - g) Count Room Advisor's Drop Box Count Verification
 - h) Drop Box Count Card
 - i) Opener/Closer Card
 - j) Fill/Credit Slip
 - k) Closing Game Inventory of Chips
 - l) Pit Supervisor's Games Report
 - m) Daily Poker Rake Summary Form
 - n) Manual Progressive Jackpot Financial Control Form
 - o) Manual Progressive Jackpot Payout Form
 - p) Manual Progressive Jackpot Non-Participant Form
 - q) Weekly Craps Reconciliation Form
 - r) Weekly Craps Summary Form
 - s) Facility Chip Inventory Control Form
 - t) Discrepancy Report
 - u) Electronic Gaming Device Discrepancy Report
 - v) Electronic Games - Casino Retailer Application Form
 - w) Electronic Games – Casino/REC Certificate of Insurance Form
 - x) Pre-Authorized Debit (PAD) Agreement for Business (Electronic Games- Casino Retailer) Form
 - y) Electronic Games - Casino Retailer Agreement
 - z) Alberta Progressive Jackpot Receipt

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