

SCHEDULE OF MONETARY PENALTIES: GAMING CONTROL ACT

Pursuant to section 14.1 of the *Alcohol and Gaming Regulation and Public Protection Act, 1996*, the following is the schedule of monetary penalties that the Board of the Alcohol and Gaming Commission of Ontario has established, and the Minister of Government Services has approved, for contraventions of the *Gaming Control Act, 1992* and its regulations:

Charitable Gaming **Registration of Suppliers and Gaming Assistants –** **Games of Chance Held Under a Licence** **O. Reg. 68/94**

SECTION	REGULATION	MAXIMUM PENALTY
29(1)	Every registered supplier of a class mentioned in section 2 shall be responsible for the conduct of every person employed by the supplier in the performance of their duties in relation to the supplier's registration. O. Reg. 68/94, s. 29 (1).	Up to \$1,000
29(2)	Every registered supplier of a class mentioned in section 2 shall keep the Registrar of Alcohol and Gaming informed in writing of all registered gaming assistants who provide services to the supplier. O. Reg. 68/94, s. 29 (2); O. Reg. 55/98, s. 1.	Up to \$500
30	Every supplier registered as a bingo hall owner or operator shall provide facilities, equipment, callers, security, storage and event co-ordination in respect of every gaming premises that the supplier owns or operates. O. Reg. 68/94, s. 30.	Up to \$1,000
31(1)	For the purposes of section 26 of the Act, the premises at which a registered supplier of a class mentioned in section 2 shall keep the records required under the Act shall not be a dwelling unless the Registrar of Alcohol and Gaming approves the premises in writing. O. Reg. 68/94, s. 31 (1); O. Reg. 55/98, s. 1.	Up to \$500
31(2)	No registered supplier of a class mentioned in section 2 shall provide goods or services with respect to the playing of a lottery scheme for which a licence is required except at the business premises identified in the supplier's registration or such other premises as the Registrar of Alcohol and Gaming approves in writing. O. Reg. 68/94, s. 31 (2); O. Reg. 55/98, s. 1.	Up to \$2,500
31(3)	Every registered supplier of a class mentioned in section 2 shall prominently display the supplier's certificate of registration	Up to \$500

SECTION	REGULATION	MAXIMUM PENALTY
	or a copy of the certificate at the business premises identified in the supplier's registration.	
31(4)	In addition to subsection (3), every supplier registered as a bingo hall owner or operator shall prominently display the supplier's certificate of registration or a copy of the certificate at each bingo hall that the supplier owns or operates. O. Reg. 68/94, s. 31 (3, 4).	Up to \$500
31.1	<p>(1) A registered bingo hall owner or operator shall not permit the following individuals to play games of chance at the bingo hall:</p> <ol style="list-style-type: none"> 1. Individuals who appear to be intoxicated. 2. Officers, directors or partners of the registrant. 3. Employees of the registrant who are registered under this Regulation. <p>(2) A registered gaming services supplier who operates a Monte Carlo event under the authority of a licence shall not permit the individuals described in paragraphs 1 to 3 of subsection (1) to play games of chance at the location identified in the licence. O. Reg. 626/94, s. 3.</p>	Up to \$1,000
32(1)	<p>Every registered supplier of a class mentioned in section 2 and registered gaming assistant of a class mentioned in section 9 shall comply with the terms of,</p> <ol style="list-style-type: none"> (a) the licence for the lottery scheme in respect of which the person provides goods or services; and (b) any order of the Lieutenant Governor in Council made under the authority of the <i>Criminal Code</i> (Canada) in respect of the licence. 	Up to \$15,000
32(2)	A registered gaming assistant of a class mentioned in section 9 shall wear, while on duty, in a visible manner the photo identification portion of the certificate of registration. O. Reg. 68/94, s. 32 (1, 2).	Up to \$250
32(3)	<p>A registrant whose registration is revoked, suspended or cancelled or who requests cancellation of registration under section 16 of the Act shall immediately return to the Registrar of Alcohol and Gaming by registered mail,</p> <ol style="list-style-type: none"> (a) the registrant's certificate of registration, if the registrant is a supplier; and (b) the registrant's certificate of registration and 	Up to \$250

SECTION	REGULATION	MAXIMUM PENALTY
	identification card, if the registrant is a gaming assistant. O. Reg. 68/94, s. 32 (3); O. Reg. 55/98, s. 1.	

**Casinos, Charity Casinos, Slot Machine Facilities
Games of Chance Conducted and Managed By the
Ontario Lottery and Gaming Corporation
O. Reg. 385/99**

SECTION	REGULATION	MAXIMUM PENALTY
14(1)	Every supplier registered under this Regulation shall prominently display the supplier's certificate of registration or a copy of the certificate at the business premises identified in the supplier's registration.	Up to \$5,000
14(2)	Every gaming assistant registered under this Regulation shall carry the certificate of registration when carrying out any duties of employment. O. Reg. 385/99, s. 14.	Up to \$250
15(a)	Every supplier registered under this Regulation and every gaming assistant registered under this Regulation who provides goods or services with respect to a game of chance shall comply with, (a) the standards for the goods and services that the Registrar specifies to ensure the safety, security and integrity of the games of chance; and	Up to \$50,000
15(b)	(b) the requirements that the Registrar specifies with respect to the recording and maintaining of financial and related information in a timely, accurate and auditable manner. O. Reg. 385/99, s. 15.	Up to \$50,000
16(1)	Every supplier registered under this Regulation shall be responsible for the conduct of every person employed by the supplier in the performance of their duties in relation to the supplier's registration.	Up to \$10,000
16(2)	Every supplier registered under this Regulation shall ensure that every individual employed by the supplier in relation to the supplier's registration has the registration required to perform the functions assigned to or carried out by the employee.	Up to \$10,000
16(3)	Every supplier registered under this Regulation shall ensure that its employees who provide goods or services for the operation of a casino, charity casino, slot machine facility or the premises used for a prescribed lottery scheme and who are not required to be registered as gaming assistants, complete and file with the Registrar an information return about those goods and services, in the form and within the time specified by the Registrar.	Up to \$5,000
16(4)	Every operator of a gaming premises shall comply with the Registrar's policy on access to the premises by its suppliers	Up to \$25,000

SECTION	REGULATION	MAXIMUM PENALTY
	and their employees.	
16(5)	Every supplier registered under this Regulation and every holder of a certificate of exemption mentioned in subsection 5 (2) shall ensure that its employees who provide goods or services for the operation of a casino, charity casino, slot machine facility or the premises used for a prescribed lottery scheme, comply with the Registrar's policy on access to the premises. O. Reg. 385/99, s. 16.	Up to \$25,000
17(1)	An operator of a gaming premises shall not contract with or employ a person to do anything with respect to the provision of goods or services to the premises that the person is not authorized to do under this Regulation.	Up to \$50,000
17(2)	A supplier registered under this Regulation shall provide a list to the Registrar, in the form and within the time specified by the Registrar, of the names of all persons whom the supplier employs or contracts with in relation to the supplier's registration.	Up to \$10,000
17(3)	A supplier registered under this Regulation shall notify the Registrar in writing of the names of all gaming assistants who are registered as gaming employees or gaming key employees whom the supplier ceases to employ. O. Reg. 385/99, s. 17.	Up to \$5,000
18(1)	An operator shall not provide gaming premises or provide goods or services with respect to the playing of a game of chance at a gaming premises unless, (a) the operator has submitted to the Registrar a floor plan of the premises; and (b) the Registrar has approved the floor plan.	Up to \$50,000
18(5)	An operator shall ensure that its operations are conducted in accordance with the floor plan approved by the Registrar. O. Reg. 385/99, s. 18.	Up to \$50,000
19(1)	An operator shall not provide gaming premises unless, (a) the operator has submitted to the Registrar a surveillance plan (including diagrams, where appropriate) for the surveillance of activities related to the playing of games of chance at the premises; and (b) the Registrar has approved the surveillance plan as meeting or exceeding the minimum standards	Up to \$50,000

SECTION	REGULATION	MAXIMUM PENALTY
	established by the Registrar for security.	
19(5)	An operator shall ensure that its operations are conducted in accordance with the policies and procedures relating to the surveillance plan approved by the Registrar.	Up to \$50,000
19(6)	If there is a failure of surveillance capability in the premises, the operator shall ensure that no games of chance are conducted, managed or operated until the use of the surveillance is restored. O. Reg. 385/99, s. 19.	Up to \$50,000
20(1)	An operator shall not provide gaming premises unless, <ul style="list-style-type: none"> (a) the operator has submitted to the Registrar its policies and procedures relating to security at the premises; and (b) the Registrar has approved the policies and procedures. 	Up to \$50,000
20(5)	An operator shall ensure that its operations are conducted in accordance with the policies and procedures relating to security approved by the Registrar. O. Reg. 385/99, s. 20.	Up to \$50,000
21(1)	A registered gaming-related supplier shall not provide, install, maintain or repair gaming equipment or provide, install, maintain, repair or operate a gaming management system for a gaming premises unless the Registrar has approved the gaming equipment or the system, as the case may be, for use.	Up to \$100,000
21(2)	A registered gaming-related supplier shall not provide gaming equipment or a gaming management system for a gaming premises except in accordance with the Registrar's approval.	Up to \$100,000
21(3)	A registered gaming-related supplier shall not modify the gaming equipment or gaming management system approved by the Registrar without the prior written approval of the Registrar for the modification and shall disclose to the Registrar all of the modifications at the time of requesting the Registrar's approval for a modification.	Up to \$100,000
21(5)	The supplier shall inform the Registrar in writing immediately if the supplier becomes aware of any problem with the integrity, security or accounting capability of any gaming equipment or gaming management system at the gaming premises.	Up to \$100,000
22(1)	An operator of a gaming premises shall not permit any person to use gaming equipment at the premises if the equipment has been, in any way, tampered with so that it could affect, <ul style="list-style-type: none"> (a) its integrity, security or accounting capability; or (b) the outcome or payout of a game of chance held at 	Up to \$100,000

SECTION	REGULATION	MAXIMUM PENALTY
	the premises.	
22(2)	The operator shall not permit any person to use an electrical, mechanical or other device, including a calculator or a computer, in the gaming premises if the device could assist in projecting the outcome of a game of chance, keep track of cards that have been dealt or change probabilities or playing strategies used in a game of chance. O. Reg. 385/99, s. 22.	Up to \$25,000
23(1)	<p>A registered gaming-related supplier shall not, in any location other than a gaming premises, install, maintain or repair gaming equipment or install, maintain, repair or operate a gaming management system for a gaming premises unless,</p> <p>(a) the supplier has submitted to the Registrar a security plan to ensure the security of the equipment or the system, as the case may be, the security of the location and the integrity of the games of chance held at the gaming premises; and</p> <p>(b) the Registrar has approved the security plan.</p>	Up to \$50,000
24(1)	An operator of a gaming premises shall put in place a system of internal controls that meets the minimum standards established by the Registrar to ensure the safe handling and movement of money and money equivalents in the premises and the maintenance of timely and accurate accounting information and data.	Up to \$50,000
24(3)	An operator of a casino or charity casino shall have an independent licensed public accountant review the internal control system and prepare a report on whether or not the system is in compliance with the policies of the Registrar on internal controls and with the operator's stated internal control system.	Up to \$25,000
24(4)	An operator of a slot machine facility shall, if required to do so by the Registrar, have an independent licensed public accountant review the internal control system and prepare a report on whether or not the system is in compliance with the policies of the Registrar on internal controls and with the operator's stated internal control system.	Up to \$25,000
24(6)	The operator shall submit a report under this section to the Registrar within the time period specified by the Registrar.	Up to \$25,000
24(7)	The operator shall implement all changes to the internal control system required by the Registrar within the time period specified by the Registrar.	Up to \$25,000
24(11)	An operator shall ensure that its operations are conducted in	Up to \$50,000

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	accordance with the internal control system approved by the Registrar. O. Reg. 385/99, s. 24.	
25(1)	An operator shall not issue or permit the use of chips or tokens for playing games of chance, or redeem those chips or tokens, unless the Registrar has approved the chips or tokens.	Up to \$25,000
25(2)	An operator shall not issue or permit the use of approved chips or tokens for playing of games of chance except in accordance with the approval.	Up to \$25,000
25(3)	A gaming-related supplier shall not supply chips or tokens to an operator unless the Registrar has approved them.	Up to \$25,000
25(4)	A gaming-related supplier shall not supply approved chips or tokens to an operator except in accordance with the approval.	Up to \$25,000
26(1)	An operator of a casino or charity casino shall have a primary and secondary set of value chips at all times unless there are reasons that make compliance with this requirement impractical and the Registrar authorizes the non-compliance in writing.	Up to \$25,000
26(3)	An operator shall remove the primary set of chips from play if, <ul style="list-style-type: none"> (a) the chips in the set are in some way defective; (b) the operator believes that there are counterfeit chips in play; or (c) the Registrar has reasonable grounds for believing that the circumstances set out in clause (a) or (b) exist and requests the removal. 	Up to \$25,000
26(4)	The operator shall inform the Registrar immediately whenever the operator removes the primary set of chips from play.	Up to \$25,000
26(5)	Upon removing the primary set of chips from play, the operator shall replace it with the secondary set of chips and obtain a new secondary set of chips. O. Reg. 385/99, s. 26.	Up to \$25,000
27	(1) Unless an operator complies with subsection (2), the operator shall not, <ul style="list-style-type: none"> (a) redeem \$10,000 or more worth of chips or tokens from a player for cash in any transaction; (b) at a casino, accept \$10,000 or more in cash as a wager at any gaming activity at which chips are not customarily used for wagering; or (c) in any cash transaction, sell \$10,000 or more worth of chips or tokens to a player. (2) On doing any of the activities described in clauses (1) (a),	Up to \$50,000

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	<p>(b) and (c), the operator shall record,</p> <ul style="list-style-type: none"> (a) the player's name and permanent address after verifying them by examining a valid driver's licence, passport or similar piece of identification bearing the player's photograph; (b) the particulars of the document used to verify the player's name and permanent address and the number of the document; (c) the date and amount of the transaction; and (d) the name, position title and signature of the person completing the transaction and recording the information on behalf of the operator. <p>(3) The operator shall forward daily to the operator's accounting department the information recorded and shall keep it for five years. O. Reg. 385/99, s. 27.</p>	
28	<p>(1) An operator shall log and aggregate all cash transactions of an amount of \$2,500 or more occurring within a 24-hour period between the operator and a specific patron, or a person who the operator knows or has reason to believe is the patron's agent, at the cage, gaming table, slot department, pit or foreign exchange booth.</p> <p>(2) An operator shall log and aggregate all cash transactions of an amount under \$2,500 occurring within a 24-hour period between the operator and a patron, or a person who the operator knows or has reason to believe is the patron's agent, at the cage, gaming table, slot department, pit or foreign exchange booth if any officer or employee of the operator has reason to believe that the transaction is one of a series of transactions that together may amount to \$10,000 or more in a 24-hour period.</p> <p>(3) When the transactions logged and aggregated pursuant to subsections (1) and (2) amount to \$10,000 or more, the identification and record-keeping requirements set out in section 27 apply. O. Reg. 385/99, s. 28.</p>	Up to \$25,000
29	<p>(1) No operator of a gaming premises shall permit a player to play games of chance at the premises other than on a cash basis but the operator of a casino may provide credit to players in the casino in accordance with this section.</p> <p>(2) In this section, "countercheque" means a pre-printed instrument signed by</p>	Up to \$50,000

SECTION	REGULATION	MAXIMUM PENALTY
	<p>a player in a casino that is endorsed "for deposit only" to a bank account of the operator of the casino;</p> <p>"credit" means an authorization to draw a countercheque to facilitate playing games of chance in a casino.</p> <p>(3) Before the operator of a casino approves a credit limit for a player, an employee employed in the credit department of the casino shall prepare a credit file for the player.</p> <p>(4) The credit file shall include a credit application form containing,</p> <ul style="list-style-type: none"> (a) the player's name, residential address and telephone number and the number of years the player has resided at that address; (b) if applicable, the player's business address and telephone number; (c) if the player is employed, the name of the player's employer, the number of years that the employer has employed the player, the business carried on by the employer and the player's occupation; (d) if the player is self-employed, a statement that the player is self-employed, the number of years of self-employment and the business carried on by the player; (e) if the player is retired, a statement of that fact; (f) the name and address of the financial institutions at which the player has accounts and the numbers of those accounts; (g) the credit limit requested by the player and the sources of income and the value of assets reported in support of the request; (h) the name of each casino, in any jurisdiction, at which the player has a line of credit and its amount; (i) the approximate amount of all other outstanding indebtedness; and (j) the player's signature acknowledging the following statement included at the bottom of the credit application form: <ul style="list-style-type: none"> "I certify that I have reviewed all of the information provided above and that it is true and accurate. I authorize (insert name of the operator of the casino) to conduct the investigations pertaining to the above 	

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	<p>information that it considers necessary for the approval of my credit limit.”</p> <p>(5) Before the operator of a casino approves a credit limit for a player, an employee employed in the credit department of the casino or a gaming key employee who is authorized under the casino’s internal control system that complies with section 24 must be satisfied as to,</p> <ul style="list-style-type: none"> (a) the player’s identity and residential address; (b) the player’s outstanding indebtedness; and (c) the player’s account numbers at financial institutions, the dates on which they were opened, the current balances, if available, and the average balances of the accounts over the preceding 12 months. <p>(6) The employee shall record the name and title of the persons providing verification of the information mentioned in subsection (5).</p> <p>(7) No person, other than a gaming key employee who is employed in the credit department of the casino or who is authorized under the casino’s internal control system that complies with section 24, may approve a credit limit and any increases to it on behalf of the operator of the casino.</p> <p>(8) The operator of a casino shall submit the operator’s policies and procedures with respect to credit to the Registrar.</p> <p>(9) If a player reaches the approved credit limit and requests an increase, the operator may consider the request but shall not increase the player’s credit limit until at least 24 hours have elapsed since the player made the request.</p> <p>(10) A request for an increase in a credit limit shall be made in writing.</p> <p>(11) A player at a casino shall have no more than 30 banking days to repay money advanced on credit by the operator of the casino.</p> <p>(12) If a player does not repay the money advanced within 30 banking days, the operator of the casino shall immediately deposit the player’s countercheque. O. Reg. 385/99, s. 29.</p>	
30(1),(2), (4)	(1) An operator of a gaming premises shall submit to the board of the Commission for its approval a complete description of each game of chance that it intends to offer for play at the premises. O. Reg. 208/00, s. 10 (1).	Up to \$25,000

SECTION	REGULATION	MAXIMUM PENALTY
	<p>(2) The description shall include,</p> <ul style="list-style-type: none"> (a) a summary of the game, including its objectives, the rules of the game, the method of play and the wagers that may be made; (b) the chances of winning the game and the advantage of the operator in relation to each wager; and (c) a description of the equipment, if any, used in the playing of the game. O. Reg. 385/99, s. 30 (2); O. Reg. 208/00, s. 10 (2). <p>(4) An operator of a gaming premises shall ensure that the games of chance offered for play at the premises are approved by the board and played in accordance with the rules approved by the board. O. Reg. 208/00, s. 10 (4).</p>	
30(6)	The operator of a gaming premises shall, on request, provide a player with a description of the rules of play of any game of chance offered for play at the gaming premises, except for games played on slot machines.	Up to \$5,000
30(7)	The operator of a gaming premises shall ensure that a sign indicating the maximum and minimum wagers permitted at a game of chance offered for play at the gaming premises is posted at each table at which the game is played and is clearly visible to the players at that table. O. Reg. 385/99, s. 30 (6, 7).	Up to \$5,000
31(1)	<p>An operator of a gaming premises shall not in any way engage in advertising, or permit anyone with whom the operator contracts, to engage in advertising that,</p> <ul style="list-style-type: none"> (a) implies that playing games of chance promotes or is required for social acceptance, personal success, financial success or the resolution of any economic, social or personal problems; (b) contains endorsements by well-known personalities that suggest that playing games of chance has contributed to their success; (c) is specifically directed at encouraging individuals under 19 years of age to play games of chance; or (d) compares playing games of chance offered at the gaming premises to other forms of gaming in Ontario. 	Up to \$50,000
31(2)	An operator shall not enter into a contract with a person under which the person offers gifts or the chance of receiving gifts as an inducement for individuals to play games of chance.	Up to \$25,000

SECTION	REGULATION	MAXIMUM PENALTY
31(3)	A supplier registered under this Regulation who supplies advertising for a casino, charity casino, slot machine facility or the premises used for a prescribed lottery scheme shall ensure that the advertising does not contravene the restrictions set out in subsection (1). O. Reg. 385/99, s. 31.	Up to \$50,000
32(1),(2)	<p>(1) An operator of a gaming premises shall not permit the following individuals to play games of chance at the premises:</p> <ol style="list-style-type: none"> 1. Individuals under 19 years of age. 2. Individuals who appear to be intoxicated. 3. An individual who the operator has reason to believe has been excluded from the premises under subsection 3.6 (1) of the Act. 4. Every individual who advises the operator that the individual is participating in a self-exclusion process mentioned in clause (3) (c) that has not been terminated. 5. Members or employees of the Commission. 6. Officers, directors or partners of the operator. 7. Revoked: O. Reg. 208/00, s. 11 (2). 8. Directors, officers and employees of the Ontario Lottery and Gaming Corporation. 9. Executives and staff of a trade union who represent or negotiate on behalf of gaming employees at the gaming premises. O. Reg. 385/99, s. 32 (1); O. Reg. 208/00, s. 11. <p>(2) An operator of a casino shall not permit gaming key employees or gaming employees employed by the operator to play games of chance at any gaming premises operated by the operator.</p> <p>(2.1) Despite paragraph 8 of subsection 32 (1), an operator of a casino may permit employees of the Ontario Lottery and Gaming Corporation to play games of chance at the casino if,</p> <ol style="list-style-type: none"> (a) they are registered as gaming employees; or (b) under the Act or this Regulation, they are not required to register as a gaming assistant in order to act as employees of the Corporation. O. Reg. 478/01, s. 1. 	Up to \$50,000
33	A gaming key employee or a gaming employee shall not play games of chance at any gaming premises operated by his or	Up to \$5,000

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	her employer. O. Reg. 385/99, s. 33.	
34	Every supplier registered under this Regulation shall notify the Registrar in writing within five days of any change in the officers, directors or partners of the supplier or of any change in the holders of 5 per cent or more of any shares of the supplier. O. Reg. 385/99, s. 34.	Up to \$10,000

General - Games of Chance Held under a Licence
O. Reg. 197/95

SECTION	DESCRIPTION	MAXIMUM PENALTY
2(1)	The supplier shall not begin operations at the gaming premises until the Registrar of Alcohol and Gaming is satisfied that the surveillance of the operations will comply with this Regulation. O. Reg. 197/95, s. 2 (1); O. Reg. 59/98, s. 1.	Up to \$50,000
2(2)	The supplier shall submit a written surveillance plan, including diagrams, where appropriate, to the Registrar of Alcohol and Gaming for approval and the plan shall include, <ul style="list-style-type: none"> (a) a floor plan of the gaming premises, showing the placement of all surveillance equipment in relation to the areas to be viewed; (b) a description of the surveillance equipment and its capabilities; (c) a description of the supplier's policies and procedures with respect to surveillance; (d) a description of the supplier's plan for carrying out surveillance if the surveillance equipment in use fails; and (e) a description of the supplier's policies and procedures respecting access to the surveillance room mentioned in clause (3) (a). O. Reg. 197/95, s. 2 (2); O. Reg. 59/98, s. 1. 	Up to \$50,000
2(5)	The supplier shall not put an approved surveillance plan into effect except in accordance with the approval. O. Reg. 197/95, s. 2 (4, 5).	Up to \$50,000
2(6)	The supplier shall not alter any material component of the surveillance plan without the prior written approval of the Registrar of Alcohol and Gaming. O. Reg. 197/95, s. 2 (6); O. Reg. 59/98, s. 1.	Up to \$25,000
4(1)(a), (b)	The supplier shall ensure that, <ul style="list-style-type: none"> (a) the closed-circuit television system in the gaming premises, including the videotape recording, is operated at all times during the hours of operation of the gaming premises; and (b) sufficient lighting is present in all areas of the gaming premises to permit clear video reproductions. 	Up to \$25,000
4(2)	The supplier shall retain the master tape of all videotape recordings in a secure area for at least seven days after they	Up to \$25,000

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	are made. O. Reg. 197/95, s. 4 (1, 2).	
4(3)	The supplier shall ensure that videotape recordings of activities that are or appear to be illegal are not destroyed without the Registrar of Alcohol and Gaming's written approval. O. Reg. 197/95, s. 4 (3); O. Reg. 59/98, s. 1.	Up to \$25,000
5(1)	The supplier shall ensure that the surveillance room is used exclusively for surveillance of activities in the gaming premises. O. Reg. 197/95, s. 5 (1).	Up to \$25,000
5(2),(3)	<p>The supplier shall maintain a log, which shall be available for inspection by representatives of the board of the Alcohol and Gaming Commission of Ontario at any time, of all surveillance activities at the gaming premises. O. Reg. 59/98, s. 2.</p> <p>(3) The log shall include,</p> <ul style="list-style-type: none"> (a) the names of all persons who enter and leave the surveillance room; (b) a summary of all activities monitored by persons engaged in surveillance at the gaming premises that are or appear to be illegal, including the date and time of the surveillance and the names of persons monitoring the activities; (c) the date and time at which the tapes in the videotape recorders are changed and names of the persons changing the tapes; and (d) a record of all malfunctions in surveillance equipment. O. Reg. 197/95, s. 5 (3). 	Up to \$50,000
6(1),(2)	<p>(1) The supplier shall establish a security department that is independent from the surveillance department.</p> <p>(2) The responsibilities of the security department include,</p> <ul style="list-style-type: none"> (a) providing for the security of gaming equipment; (b) providing security for the cashier's cages and count rooms and restricting entry to them to authorized persons only; (c) limiting the distribution of keys to those parts of the gaming premises to which access is restricted to authorized persons; (d) monitoring and accompanying the movement of money and money equivalents; (e) monitoring for cheating and thefts; 	Up to \$50,000

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	<p>(f) controlling crowds as necessary;</p> <p>(g) evacuating the gaming premises in an emergency;</p> <p>(h) reporting to the supplier all incidents threatening security at the gaming premises;</p> <p>(i) preparing and maintaining records of all incidents reported to the supplier under clause (h); and</p> <p>(j) maintaining a daily log of all security activities. O. Reg. 197/95, s. 6.</p>	
7	<p>The rules of play for a lottery scheme described in section 1 shall be the same as the rules of play approved by the board of the Alcohol and Gaming Commission of Ontario for games of chance conducted and managed by the Ontario Lottery and Gaming Corporation. O. Reg. 210/00, s. 2.</p>	Up to \$25,000
8	<p>The supplier shall maintain, for a period of at least five years, the following records relating to the lottery schemes operated by the supplier:</p> <ol style="list-style-type: none"> 1. Records of all written and unwritten contracts of purchase or sale of gaming equipment or services made by the supplier indicating, <ol style="list-style-type: none"> i. the name and address of the person with whom the supplier contracted, ii. a description of the equipment or services, and iii. the amount of payments made under the contract. 2. Daily computations of the drop and win or loss for each game offered at the gaming premises. 3. Banking records of all accounts used by the supplier that clearly identify all transactions made in connection with the operation of the lottery schemes conducted from the gaming premises. O. Reg. 197/95, s. 8. 	Up to \$25,000
9 (1),(2)	<p>(1) The supplier shall not redeem \$10,000 or more worth of chips for cash from one person in a transaction, accept \$10,000 or more in cash as a wager from one person at a gaming activity at which chips are not customarily used for wagering or sell in any transaction \$10,000 or more worth of chips to a person unless the supplier makes a record of,</p> <ol style="list-style-type: none"> (a) the person's name and permanent address after verifying them by examining a valid driver's licence, passport or similar piece of identification bearing the 	Up to \$50,000

SECTION	DESCRIPTION	MAXIMUM PENALTY
	<p>person's photograph;</p> <p>(b) the document used to verify the person's name and permanent address and the number of the document;</p> <p>(c) the date and amount of the transaction;</p> <p>(d) the name, position title and signature of the person who completes the transaction and records the information on behalf of the supplier.</p> <p>(2) The information recorded shall be forwarded daily to the supplier's accounting department and shall be kept for five years.</p>	
9 (3),(4),(5)	<p>(3) The supplier shall log and aggregate all cash transactions of \$2,500 or more occurring within a 24-hour period between the supplier and one person, or another person who the supplier knows or has reason to believe is the person's agent, at the cage, gaming table or pit.</p> <p>(4) The supplier shall log and aggregate all cash transactions under \$2,500 occurring within a 24-hour period between the supplier and one person, or another person who the supplier knows or has reason to believe is the person's agent, at the cage, gaming table or pit if any officer or employee of the supplier has reason to believe that the transaction is one of a series of transactions that together may amount to \$10,000 or more in a 24-hour period.</p> <p>(5) When transactions that are logged and aggregated under subsections (3) and (4) amount to \$10,000 or more, the identification and record-keeping requirements set out in subsection (1) apply. O. Reg. 197/95, s. 9.</p>	Up to \$25,000
10(1)	<p>The supplier shall implement an internal control system that complies with the internal control policies issued by the Registrar of Alcohol and Gaming and provides reasonable assurance that,</p> <p>(a) the financial records that the supplier is required to maintain under this Regulation are accurate, reliable and prepared on a timely basis;</p> <p>(b) the potential for error and fraud is minimized;</p> <p>(c) the duties and responsibilities of gaming assistants at</p>	Up to \$50,000

SECTION	DESCRIPTION	MAXIMUM PENALTY
	<p>the gaming premises are appropriately segregated;</p> <p>(d) money and money equivalents are safeguarded; and</p> <p>(e) efficient operations are promoted. O. Reg. 197/95, s. 10 (1); O. Reg. 59/98, s. 1.</p>	
10(2),(3)	<p>(2) At the end of the first year of operation of the gaming premises, the supplier shall have the internal control system reviewed by an independent licensed public accountant at the supplier's own expense to ensure that the system complies with subsection (1). O. Reg. 197/95, s. 10 (2).</p> <p>(3) The supplier shall submit the accountant's report to the Registrar of Alcohol and Gaming within three months of the end of the first year of operation of the gaming premises. O. Reg. 197/95, s. 10 (3); O. Reg. 59/98, s. 1.</p>	Up to \$50,000
10(4)	<p>In all subsequent years after the first year of operation of the gaming premises, the supplier shall include in its annual financial statements a statement whether the internal control system complies with subsection (1). O. Reg. 197/95, s. 10 (4).</p>	Up to \$25,000
10(5)	<p>The supplier shall not implement any material changes to the internal control system without advising the Registrar of Alcohol and Gaming in writing of the changes. O. Reg. 197/95, s. 10 (5); O. Reg. 59/98, s. 1.</p>	Up to \$25,000

SECTION	DESCRIPTION	MAXIMUM PENALTY
11	<p>(1) The supplier shall establish a committee that is responsible for ensuring that the supplier complies with this Regulation.</p> <p>(2) The committee shall consist of a minimum of five members, two of whom shall be persons who,</p> <ul style="list-style-type: none"> (a) are not interested persons in the supplier within the meaning of section 8 of the Act; (b) do not have a contract with the supplier; and (c) are not employees of the supplier. <p>(3) At least one member of the committee shall be a member of the Law Society of Upper Canada and at least one member of the committee shall be a public accountant licensed in Ontario.</p> <p>(4) The committee shall meet once a month during the first year of operation of the gaming premises and after that once every three months. O. Reg. 197/95, s. 11 (1-4).</p> <p>(5) The supplier shall provide the Registrar of Alcohol and Gaming with the minutes of all meetings of the compliance committee. O. Reg. 197/95, s. 11 (5); O. Reg. 59/98, s. 1.</p>	Up to \$25,000
12	<p>(1) The supplier shall submit to the Registrar of Alcohol and Gaming, within three months of the supplier's fiscal year end, corporate and consolidated financial statements, to which schedules are appended setting out all related party transactions, on its operations. O. Reg. 197/95, s. 12 (1); O. Reg. 59/98, s. 1.</p> <p>(2) The supplier shall submit to the Registrar of Alcohol and Gaming a copy of all annual and quarterly filings that it makes with a securities commission in any jurisdiction. O. Reg. 197/95, s. 12 (2); O. Reg. 59/98, s. 1.</p> <p>(3) The supplier shall provide such other information or material required by the Registrar of Alcohol and Gaming within the time period required. O. Reg. 197/95, s. 12 (3); O. Reg. 59/98, s. 1.</p>	Up to \$10,000

Lotteries – Ontario Regulation 281/07

SECTION	REGULATION	MAXIMUM PENALTY
11(1)	Every lottery retailer registered under this Regulation shall ensure that the retailer's certificate of registration or a copy of the certificate is prominently displayed at the business premises identified in the retailer's registration or is kept in a place that the Registrar approves where the document is immediately available for inspection. O. Reg. 11/08, s. 2.	Up to \$500
11(2)	Every gaming assistant registered under this Regulation shall carry or have immediate access to their certificate of registration when carrying out any duties of employment. O. Reg. 281/07, s. 11 (2).	Up to \$250
12(a)	Every supplier registered under this Regulation and every gaming assistant registered under this Regulation who provides goods or services with respect to a lottery shall comply with, (a) the standards for the goods and services that the Registrar specifies to ensure the safety, security and integrity of the lottery;	Lottery Retailers and Gaming Assistants: Up to \$5,000 Other Suppliers: Up to \$50,000
12(b)	(b) the requirements that the Registrar specifies with respect to the recording and maintaining of financial and related information in a timely, accurate and auditable manner. O. Reg. 281/07, s. 12.	Lottery Retailers and Gaming Assistants: Up to \$5,000 Other Suppliers: Up to \$50,000
13(1)	Every supplier registered under this Regulation shall be responsible for the conduct of every person employed by the supplier in the performance of their duties in relation to the supplier's registration. O. Reg. 281/07, s. 13 (1).	Lottery Retailers: Up to \$2,500 Other Suppliers: Up to \$25,000
13(2)	Every lottery retailer registered under this Regulation shall ensure that every lottery retailer manager employed by the retailer in relation to the retailer's registration has the registration required to perform the functions assigned to or carried out by the employee. O. Reg. 281/07, s. 13 (2).	Up to \$2,500
13(3)	At the request of the Registrar, every supplier registered under this Regulation shall complete and file with the Registrar, in the form and within the time the Registrar specifies, an information return about, (a) its employees who are not required to be registered as gaming assistants but who provide goods or services	Up to \$2,500

SECTION	REGULATION	MAXIMUM PENALTY
	<p>for the operation of a lottery; and</p> <p>(b) all persons with whom it contracts in relation to the supplier's registration. O. Reg. 281/07, s.13 (3).</p>	
13(4)	<p>Every supplier registered under this Regulation shall ensure that its employees who provide goods or services for the operation of a lottery or the premises used for a lottery comply with the Registrar's policy on access to the premises. O. Reg. 281/07, s. 13 (4).</p>	<p>Lottery Retailers: Up to \$1,000</p> <p>Other Suppliers: Up to \$10,000</p>
14	<p>A registered lottery retailer shall comply with its contractual obligations to the Ontario Lottery and Gaming Corporation. O. Reg. 281/07, s. 14.</p>	Up to \$1,000
15(1)	<p>A registered lottery equipment supplier shall not provide, install, maintain or repair lottery equipment or provide, install, maintain, repair or operate a lottery management system unless the Registrar has approved the lottery equipment or the lottery management system, as the case may be, for use. O. Reg. 281/07, s. 15 (1).</p>	Up to \$50,000
15(2)	<p>A registered lottery equipment supplier shall not provide lottery equipment or a lottery management system except in accordance with the Registrar's approval. O. Reg. 281/07, s. 15 (2).</p>	Up to \$25,000
15(3)	<p>A registered lottery equipment supplier shall not modify the lottery equipment or lottery management system approved by the Registrar without the prior written approval of the Registrar for the modification and shall disclose to the Registrar all of the modifications at the time of requesting the Registrar's approval for a modification. O. Reg. 281/07, s. 15 (3).</p>	Up to \$25,000
15(5)	<p>The supplier shall inform the Registrar in writing immediately if the supplier becomes aware of any problem with the integrity, security or accounting capability of any lottery equipment or lottery management system. O. Reg. 281/07, s. 15 (5).</p>	<p>Lottery Retailers: Up to \$2,500</p> <p>Other Suppliers: Up to \$25,000</p>
16(1)	<p>A registered lottery equipment supplier shall not install, maintain or repair lottery equipment or install, maintain, repair or operate a lottery management system unless,</p> <p>(a) the supplier has submitted to the Registrar a security plan to ensure the security of the equipment or the system, as the case may be, and the integrity of the lottery; and</p>	Up to \$25,000

SECTION	REGULATION	MAXIMUM PENALTY
	(b) the Registrar has approved the security plan. O. Reg. 281/07, s. 16 (1).	
17(1)	A registered lottery equipment supplier shall put in place a system of internal controls that achieves the control objectives identified by the Registrar to ensure the integrity of the lottery equipment. O. Reg. 281/07, s. 17 (1).	Up to \$50,000
17(2),(3)	<p>(2) If the Registrar so requires, the lottery equipment supplier shall have an independent licensed public accountant review the internal control system and prepare,</p> <ul style="list-style-type: none"> (a) a report on whether or not the system achieves the control objectives identified by the Registrar; or (b) a report on whether or not the system is in compliance with the policies of the Registrar on internal controls and with the supplier's stated internal control system. O. Reg. 281/07, s. 17 (2). <p>(3) An accountant's report mentioned in subsection (2) shall set out suggestions for improvements or changes to the internal control system. O. Reg. 281/07, s. 17 (3).</p>	Up to \$25,000
17(6)	The lottery equipment supplier shall implement all changes to the internal control system required by the Registrar within the time period specified by the Registrar. O. Reg. 281/07, s. 17 (6).	Up to \$25,000
17(9)	A registered lottery equipment supplier shall ensure that its operations are conducted in accordance with the internal control system approved by the Registrar. O. Reg. 281/07, s. 17 (9).	Up to \$50,000
18	Every supplier registered under this Regulation shall notify the Registrar in writing within five days of any change in the officers, directors or partners of the supplier or of any change in the holders of 5 per cent or more of any shares of the supplier. O. Reg. 281/07, s. 18.	<p>Lottery Retailers: Up to \$1,000</p> <p>Other Suppliers: Up to \$10,000</p>