

**State of California  
Office of Administrative Law**

**In re:**  
**Department of Justice**

**Regulatory Action:**

**Title 11, California Code of Regulations**

**Adopt sections:** 2080, 2081, 2082, 2083,  
2084, 2085, 2086, 2087,  
2088, 2089, 2090, 2091,  
2092, 2093, 2094, 2095,  
2096, 2097, 2098, 2099,  
2100, 2101, 2102, 2103,  
2104, 2105, 2106, 2107,  
2108, 2109, 2130, 2131,  
2132

**Amend sections:**

**Repeal sections:**

**NOTICE OF APPROVAL OF EMERGENCY  
REGULATORY ACTION**

**Government Code Sections 11346.1 and  
11349.6**

**OAL Matter Number: 2016-1005-01**

**OAL Matter Type: Emergency Readopt (EE)**

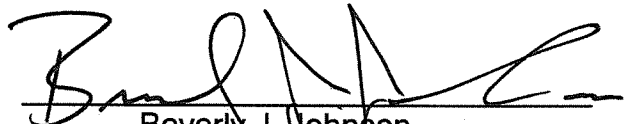
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The Department of Justice submitted this emergency readopt action to maintain the regulations adopted in OAL File No. 2016-0418-03E. The emergency rulemaking action adopted sections in CCR title 11, to implement SB 549 (chapter 509, statutes of 2015), effective January 1, 2016. The legislation authorizes major league sports raffles at a home game conducted by an eligible organization, as defined in the legislation.

OAL approves this emergency regulatory action pursuant to sections 11346.1 and 11349.6 of the Government Code.

This emergency regulatory action is effective on 10/25/2016 and will expire on 1/24/2017. The Certificate of Compliance for this action is due no later than 1/23/2017.

**Date:** October 17, 2016

  
Beverly J. Johnson  
Deputy Director

**For:** Debra M. Cornez  
Director

**Original:** Kamala D. Harris

**Copy:** Jennifer Tatge

## NOTICE PUBLICATION/REGULATIONS SUBMISSION

**EMERGENCY**

See instructions on reverse

For use by Secretary of State only

STD. 400 (REV. 01-2013)

OAL FILE NUMBERS	NOTICE FILE NUMBER <b>Z-</b>	REGULATORY ACTION NUMBER	EMERGENCY NUMBER <b>2016-1005-01EE</b>
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For use by Office of Administrative Law (OAL) only

**ENDORSED - FILED**  
in the office of the Secretary of State  
of the State of California**OCT 17, 2016****1:55 p.m.****2016 OCT -5 A 11: 20****OFFICE OF  
ADMINISTRATIVE LAW**

NOTICE

REGULATIONS

AGENCY WITH RULEMAKING AUTHORITY  
Department of JusticeAGENCY FILE NUMBER (If any)  
DOJ-16-003**A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)**

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

**B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)**

1a. SUBJECT OF REGULATION(S) Major League Sports Raffle Program		1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S) OAL File No. 2016-0418-03 (E)	
2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)			
SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)		ADOPT See attachment - (first section affected 2080)	
		AMEND	
TITLE(S) 11		REPEAL	
3. TYPE OF FILING			
<input type="checkbox"/> Regular Rulemaking (Gov. Code §11346) <input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4) <input type="checkbox"/> Emergency (Gov. Code, §11346.1(b)) <input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute. <input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1) <input checked="" type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h)) <input type="checkbox"/> File & Print <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100) <input type="checkbox"/> Print Only			
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1)			
5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100) <input type="checkbox"/> Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a)) <input type="checkbox"/> Effective on filing with Secretary of State <input type="checkbox"/> \$100 Changes Without Regulatory Effect <input checked="" type="checkbox"/> Effective other (Specify) <b>October 25, 2016</b>			
6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY <input type="checkbox"/> Department of Finance (Form STD. 399) (SAM §6660) <input type="checkbox"/> Fair Political Practices Commission <input type="checkbox"/> State Fire Marshal <input type="checkbox"/> Other (Specify) _____			
7. CONTACT PERSON Jennifer Tatge		TELEPHONE NUMBER (916) 227-7873	FAX NUMBER (Optional) E-MAIL ADDRESS (Optional) jennifer.tatge@doj.ca.gov

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

SIGNATURE OF AGENCY HEAD OR DESIGNEE

DATE

TYPED NAME AND TITLE OF SIGNATORY

Nathan Barankin, Chief Deputy Attorney General

**9.22.16**

For use by Office of Administrative Law (OAL) only

**ENDORSED APPROVED****OCT 17 2016**

Office of Administrative Law

Re-adopt Title 11, Division 3, Article 8, Sections 2080; 2081; 2082; 2083; 2084; 2085; 2086; 2087; 2088;  
2089; 2090; 2091; 2092; 2093; 2094; 2095; 2096; 2097; 2098; 2099; 2100; 2101; 2102; 2103; 2104;  
2105; 2106; 2107; 2108; 2109; 2130; 2131; and, 2132

**TEXT OF EMERGENCY REGULATIONS**  
**TITLE 11, DIVISION 3**

**Article 8. Major League Sports Raffle Program**

**SECTION 2080 Title and Scope**

This article shall be known as the "Department of Justice's Major League Sports Raffle Program" or the "Major League Sports Raffle Program." The sections of this article implement, interpret and make specific the establishment of a registration and reporting program for specified nonprofit organizations, as required by Penal Code section 320.6. The sections of this article apply to every eligible organization, as defined in subdivision (c) of Penal Code section 320.6, that conducts a raffle as defined in subdivision (b) of Penal Code section 320.6. Contingent upon the appropriation of sufficient funds, the Department of Justice and the Bureau of Gambling Control will carry out the registration, auditing, oversight, and enforcement functions prescribed herein.

Note: Authority Cited: Section 320.6, Penal Code. Reference: Section 320.6, Penal Code.

**SECTION 2081 Definitions**

The following definitions shall apply when used in this article:

- (a) "Affiliated person" means a natural person, who is at least 18 years of age, and is authorized by an eligible organization to perform any duties related to a registered event, including as:
  - (1) A fiduciary;
  - (2) A supervisor or manager;
  - (3) A manual draw supervisor;
  - (4) A member of the count and reconciliation team;
  - (5) A direct seller of raffle tickets;
  - (6) A member of the electronic raffle system management team; or
  - (7) An unpaid volunteer.
- (b) "Affiliated sports team" means a team from Major League Baseball, National Hockey League, National Basketball Association, National Football League, Women's National Basketball Association, or Major League Soccer.
- (c) "Affiliated association" means the Professional Golfers' Association of America, Ladies Professional Golf Association, or National Association of Stock Car Auto Racing.
- (d) "Annual" or "annually" means every calendar year.
- (e) "Approval" means authorization by the Bureau for certain acts by persons registered under this article.
- (f) "Bureau" means the Bureau of Gambling Control in the California Department of Justice, acting as "the Department" as provided in section 320.6 of the Penal Code.
- (g) "Calendar year" means the one-year period that begins on January 1 and ends on December 31.
- (h) "Counterfoil" means a printed electronic record or paper ticket stub, also known as a barrel ticket, which by chance may be selected during a manual draw to determine the winner of a

raffle prize and contains a draw number matching the draw number on a raffle ticket purchased by a raffle player.

- (i) "Count and reconciliation team" means a group of affiliated persons designated by the eligible organization as responsible for conducting counterfoil and cash reconciliations during a registered event.
- (j) "Direct seller" means a natural person who sells raffle tickets.
- (k) "Draw number" means a unique number that is recorded on every raffle ticket and matching counterfoil.
- (l) "Electronic raffle system" means an apparatus that connects and consists of, but is not limited to, servers, associated network equipment, computer software, mobile devices, raffle sales unit, printers, and related equipment used by an eligible organization to sell raffle tickets or account for the sale of raffle tickets.
- (m) "Eligible recipient organization" means a private, nonprofit organization as defined in subdivision (d)(4)(A) of Penal Code section 320.6.
- (n) "Eligible organization" means an organization that holds a valid registration issued pursuant to section 2086.
- (o) "Fee" means any fee required to be paid to the Bureau pursuant to this article.
- (p) "Fiduciary" means a natural person designated by an eligible organization to fulfill the duties provided in section 2088 of this article.
- (q) "Home game," for an affiliated sports team, means a live sports event held in California that is designated as a home game in an official schedule distributed by the league of which the Affiliated Sports Team is a member; for an affiliated association, "home game" means a live sports event of the association held in California.
- (r) "Independent gaming test laboratory" means a gaming test laboratory that is either:
  - (1) Licensed or registered to test, approve, and certify gambling equipment, systems, and software in any United States jurisdiction, and accredited by a signatory to the International Laboratory Accreditation Cooperation Mutual Recognition Arrangement or other equivalent laboratory accreditation agreement; or
  - (2) Operated by a gaming regulatory agency of a state of the United States of America that is qualified to make the certifications set forth herein.
- (s) "Manual draw" means the method used for the selection of a raffle draw number to determine the raffle prize winner that does not utilize a random number generator, requires a person to hand-pick the winning counterfoil from a container that contains every counterfoil generated during the registered event, provides an equal chance for every counterfoil generated during the registered event to be selected during the draw, and complies with section 2097, subdivision (b) of this article.
- (t) "Manual draw supervisor" means a natural person as defined in Penal Code section 320.6, subdivision (d)(3).
- (u) "Person" unless otherwise indicated, means a natural person, non-profit organization, corporation, partnership, limited partnership, trust, joint venture, association, or any other business organization.
- (v) "Prize" means the money paid to the raffle winner and is comprised of one-half or 50 percent of the gross receipts generated from the sale of raffle tickets at a registered event.
- (w) "Raffle" means a scheme for the distribution of a prize at a registered event that meets the requirements provided in this article and Penal Code section 320.6.

- (x) "Raffle draw number" means a unique number recorded on a raffle ticket and the counterfoil that by chance may be selected as the winning number during the manual draw at a registered event.
- (y) "Raffle player" means an individual who purchases a raffle ticket or tickets.
- (z) "Raffle-related products and services" means those products and services supplied by a person to an eligible organization to conduct a raffle.
- (aa) "Raffle sales unit" or "electronic raffle ticket sales device" means a portable device, remote hard-wired connected device, or a stand alone kiosk operated by an affiliated person to sell raffle tickets.
- (ab) "Raffle ticket" means a record of entry into the raffle provided to a raffle player.
- (ac) "Registered event" means a single raffle event authorized by the Bureau pursuant to these regulations.
- (ad) "Registrant" means any person required to be registered with the Bureau pursuant to Penal Code section 320.6 or this article.
- (ae) "Unpaid volunteer" means a natural person who performs hours of service in furtherance of a registered event on behalf of an eligible organization or eligible recipient organization for civic, charitable, or humanitarian reasons, without promise, expectation or receipt of compensation for services rendered.
- (af) "Venue" means the area where raffle tickets are authorized to be sold by this article, restricted areas where only affiliated persons assigned duties related to the registered event are permitted, and areas where equipment or records related to the registered event are used or stored.

Note: Authority Cited: Section 320.6, subdivisions (c), (d), (e), (h), (j), (l), (m), and (o), Penal Code. Reference: Section 320.6, Penal Code.

### **SECTION 2082 Delegation of Authority**

Any power or authority granted to the Department of Justice and described in Penal Code section 320.6 may be exercised by the Bureau of Gambling Control.

Note: Authority Cited: Section 320.6, Penal Code. Reference: Section 320.6, Penal Code.

### **SECTION 2083 Eligible Organizations**

This article does not apply to a private, nonprofit organization established by, or affiliated with, a team or association that is not a member of one of the sporting organizations provided in Penal Code section 320.6, subdivision (c).

Note: Authority Cited: Section 320.6, Penal Code. Reference: Section 320.6, Penal Code.

### **SECTION 2084 Forms**

The following forms are hereby incorporated by reference:

- (a) Major League Sports Raffle Eligible Organization Registration Form (BGC 200; Org. 01/2016)

- (b) Major League Sports Raffle Unpaid Volunteer or Individual Affiliated Person - Annual Registration Form (BGC 201; Orig. 01/2016)
- (c) Major League Sports Raffle Manufacturer and Distributor of Products or Services Annual Registration Form (BGC 202; Orig. 01/2016)
- (d) Major League Sports Raffle Affiliated Person Annual Registration Form (BGC 203; Orig. 01/2016)
- (e) Major League Sports Raffle Eligible Organization Annual Report (BGC 204; Orig. 01/2016)
- (f) Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 205; Orig. 01/2016)
- (g) Major League Sports Raffle Eligible Organization – Equipment Registration Form (BGC 206; Orig. 01/2016)
- (h) Major League Sports Raffle Electronic Raffle System and Equipment Checklist and Test Draw (BGC 207; Orig. 01/2016)

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

#### **SECTION 2085 Retention of Program Records**

The Bureau shall maintain copies of all registration applications accepted for filing and copies of all reports filed pursuant to section 2107 of this article and Penal Code section 320.6.

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

#### **SECTION 2086 Eligible Organization Registration**

- (a) The Bureau may issue a Major League Sports Raffle registration to an eligible organization.
- (b) Every eligible organization shall, prior to conducting any raffle in California, annually register with the Bureau in the Major League Sports Raffle Program.
- (c) To apply for annual registration, an eligible organization must:
  - (1) Submit to the Bureau a completed application Major League Sports Raffle Eligible Organization Registration Form (BGC 200; Org. 01/2016); and
  - (2) Remit a non-refundable registration fee of \$5,000.

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

#### **SECTION 2087 Registrant Disclosure and Bureau Access to Venue**

- (a) Every registrant shall make true and complete disclosures of all information, documents and other records requested by the Bureau, including, but not limited to, information provided pursuant to subdivision (o) of Penal Code section 320.6 to enable the Bureau and

- other law enforcement agencies to ascertain compliance with Penal Code section 320.6 and regulations adopted to establish and maintain the Major League Sports Raffle Program.
- (b) Bureau personnel shall have access to the venue before, during, and after a registered event.
  - (c) Bureau personnel shall have access to all registered event records and equipment.

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

#### **SECTION 2088 Fiduciary of Eligible Organization – Duties**

Every fiduciary designated on the Major League Sports Raffle Eligible Organization Registration Form (BGC 200; Org. 01/2016) shall be responsible for all of the following:

- (a) Ensuring that there is full accountability of all raffle assets including, but not limited to:
  - (1) All raffle-related products and supplies;
  - (2) All funds derived from the registered event; and
  - (3) The distribution of all funds derived from the registered event;
- (b) Ensuring that the registered event is conducted in accordance with raffle rules established for the conduct of the raffle, this article, Penal Code section 320.6, and any other applicable federal or state laws;
- (c) Ensuring that all records related to the registered event are current and accurate;
- (d) Reviewing all reports and correspondence from and to the Bureau;
- (e) Signing, and ensuring that, the financial statements from the registered event are maintained by the eligible organization and submitted to the Bureau, if requested;
- (f) Responding in writing to violation notices;
- (g) Ensuring affiliated persons engaged in the sale of raffle tickets are holders of a valid registration issued by the Bureau;
- (h) Ensuring that all affiliated persons are trained to fully carry out the duties assigned to them and can proficiently operate any equipment necessary for the conduct of their duties; and, are fully informed of all pertinent statutes and regulations associated with the Major League Sports Raffle Program;
- (i) Ensuring that the electronic raffle system and all other equipment used to conduct a registered event is properly maintained and functions properly during a registered event, and complies in all other respects with the requirements of this article;
- (j) Ensuring that the manual draw is conducted in compliance with the requirements of this article;
- (k) Designating himself or herself, or another affiliated person, as a manual draw supervisor;
- (l) Ensuring that prior to the manual draw, the gross receipts are tallied and the prize amount is announced; and
- (m) Ensuring that a registered event is conducted by the eligible organization in the best interests of the public's health, safety, and general welfare.

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

#### **SECTION 2089 Raffle Registration; Registered Event**



- (a) In conjunction with its annual registration, an eligible organization must apply for registration of each and every registered event it plans to conduct.
- (b) The Bureau may issue a registration for a single registered event or for multiple registered events, so long as each of the registered events will take place on a definite schedule during the calendar year of the eligible organization's registration.
- (c) No more than one raffle drawing shall be conducted during a registered event.
- (d) To register the raffle as a registered event, a eligible organization must:
  - (1) Submit a completed Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 205; Org. 01/2016), to the Bureau; and
  - (2) Remit the required non-refundable fee of \$100 per registered event.
- (e) Every eligible organization must also submit a map of the event location, identifying any family section; the locations where direct sellers will be conducting sales at the registered event; the locations of affiliated person-attended kiosks; the location where count and reconciliation functions will be performed; the location where raffle system management functions will be performed; and the location where the manual draw will be conducted.
- (f) The Bureau shall not register a raffle scheduled to encompass more than one calendar day.

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

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

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

- (a) Submit a completed Major League Sports Raffle Eligible Organization Registered Event Registration Form (BGC 205; Org. 01/2016) to the Bureau; and
- (b) Remit the required non-refundable fee of \$100 per registered event.

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

#### **SECTION 2091 Equipment Registration**

- (a) Every eligible organization must annually register with the Bureau any equipment to be used in the sale and distribution of raffle tickets by submitting a completed Major League Sports Raffle Eligible Organization – Equipment Registration Form (BGC 206; Orig. 01/2016).
- (b) Every eligible organization must attach a certificate of testing issued, within the last twelve months, by an independent gaming test laboratory to the form required by subdivision (a) of this section.

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

#### **SECTION 2092 Affiliated Person Registration**

- (a) An affiliated person must register annually with the Bureau. To apply for a registration as an affiliated person, an applicant must:
  - (1) Be at least 18 years of age;
  - (2) Be an affiliated person;
  - (3) Submit completed applications as appropriate:
    - A. Major League Sports Raffle Unpaid Volunteer or Affiliated Person Individual Annual Registration Form (BGC 201; Orig. 01/2016); or
    - B. Major League Sports Raffle Affiliated Person Annual Registration Form (BGC 203; Orig. 01/2016) submitted to the Bureau on behalf of the affiliated person; and
  - (4) Remit the required non-refundable fee of \$10.
- (b) Nothing in this section precludes an eligible organization from having other eligibility requirements in place for affiliated persons.

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

#### **SECTION 2093 Affiliated Person Training**

- (a) Every affiliated person shall be trained to effectively operate the equipment they will be assigned to operate during the conduct of a registered event. Every eligible organization shall maintain a record of training provided to every affiliated person for three years.
- (b) Every affiliated person shall receive a copy of these regulations and be familiar with their content prior to serving in their first registered event.

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

#### **SECTION 2094 Affiliated Person Identification**

Every affiliated person working at the venue shall display on their person an identification card provided by the eligible organization confirming their employment by, or unpaid volunteer status for, the eligible organization. The identification must include the name of the affiliated person and the registration number issued by the Bureau for that individual.

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

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

- (a) No person may sell, rent, or distribute raffle-related products or services to an eligible organization for a registered event without having first been registered by the Bureau for the calendar year in which the registered event is conducted.

- (b) To apply for an annual registration, a manufacturer or distributor of raffle-related products must:
  - (1) Submit to the Bureau a completed Major League Sports Raffle Manufacturer and Distributor of Products or Services Annual Registration Form (BGC 202; Orig. 01/2016); and
  - (2) Remit a non-refundable registration fee of \$5,000.

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

### **SECTION 2096 Registered Event; Ticket Sales**

- (a) No more than one raffle drawing shall be conducted during a registered event.
- (b) Raffle ticket sales may take place only during a home game.
- (c) Raffle tickets shall not be sold in any seating area designated as a family section.
- (d) Raffle tickets shall be sold only in areas where an event ticket is required for admission to view the game or sporting event.
- (e) Raffle tickets produced by an electronic raffle system must be printed only when sold to a raffle player. Preprinting electronic tickets is prohibited.
- (f) Raffle tickets may not be sold in advance of the registered event.
- (g) An eligible organization shall not change raffle ticket prices once sales of raffle tickets in a registered event have commenced. An eligible organization may, at its discretion, sell raffle tickets with price points allowing for the purchase of multiple raffle tickets at a discounted rate. An accounting must be documented for each price point at the point of sale for purposes of reporting.
- (h) All raffle ticket draw numbers must be unique and cannot be duplicated in the registered event.
- (i) Each raffle ticket number purchased shall represent one entry in the drawing for a winner. The equipment used to conduct raffles and the method of play shall ensure that each and every raffle ticket sold shall have an equal opportunity to be drawn as a winner.
- (j) All counterfoils generated at a registered event shall be placed in the pool of counterfoils from which only one counterfoil must be drawn to determine the winner of the raffle prize.
- (k) The sale of raffle tickets at a registered event, whether an admission-style or electronically generated ticket or the use of a manned kiosk, must be conducted by an affiliated person.
- (l) A raffle player may purchase one or more raffle tickets at a registered event.
- (m) United States currency or a valid credit or debit card may be accepted by an eligible organization as payment for any raffle ticket. An electronic benefit card or funds issued by the federal government, or any state or local government, for the delivery of public assistance to a person shall not be used or accepted for the purchase of any raffle ticket.
- (n) A raffle ticket is not transferrable or assignable from its purchaser to any other person.
- (o) All sales of raffle tickets are final; no refunds shall be made under any circumstance.
- (p) No person affiliated with an eligible organization, affiliated sports team, affiliated association, eligible recipient organization, or a registered manufacturer and distributor of raffle-related products or services, including any affiliated person, any employee or agent, or their immediate family member, may participate in any registered event as a raffle player or receive a raffle prize.

- (q) Every registered event shall commence no earlier than when ticket holders for the live event are permitted entrance to a home game and shall conclude with the announcement of the winning draw number prior to completion of the home game registered event where the corresponding raffle tickets are. If for some unforeseen reason (e.g., weather delay, power outage, emergency, or other reasonably unforeseen event) the registered event is not completed on the calendar day the registered event's raffles tickets are sold, the selection of the winning raffle ticket from that registered event must be completed the first business day when normal operations resume, and notice of the winning draw number must be posted to the eligible organization's webpage.
- (r) An eligible organization must have the fiduciary of the organization as listed on its registration application to the Bureau on site or designate one affiliated person within its organization to oversee a registered event.
- (s) An eligible organization must have on site prior to, throughout, and to the conclusion of a registered event, a sufficient number of trained affiliated persons to competently fulfill the functions of raffle ticket sales, count and reconciliation, and raffle system management. The number of supervisory or management staff must be sufficient to support the direct raffle ticket sellers and they must have a level of expertise and requisite training to operate the raffle sales unit and electronic raffle system.
- (t) Reconciliation of monetary transactions and reconciliation of raffle ticket transactions must be conducted in a secure location and under constant security and surveillance at the venue.
- (u) No revenues generated from the sale of raffle tickets may be used to defray costs incurred by the eligible organization for the conduct of the raffle.
- (v) The total prize amount of a raffle shall be one-half or 50 percent of the gross proceeds collected from the sale of the raffle tickets.
- (w) All proceeds collected from the sale of raffle tickets, that are not distributed as a prize, shall be used to benefit the organization named on the Major League Sports Raffle Eligible Organization Registered Event Registration Form submitted to the Bureau.
- (x) Every eligible organization's raffle rules must state when the manual draw will take place.
- (y) Every eligible organization's raffle rules, and each individual raffle ticket, must provide the name and phone number of the individual in charge of the registered event. Each raffle ticket must provide a raffle player a method for verifying whether he or she is entitled to the prize.
- (ab) Every eligible organization must establish and publish the duration of time during which raffle tickets will be sold for each registered event, and provide its affiliated persons sufficient time to ensure that all sales reconciliation, eligible counterfoil verification, and winning counterfoil and raffle ticket verification procedures can be conducted following the manual draw.
- (ac) Every eligible organization shall ensure that direct sellers do not carry more than \$1000 in cash from the sale of raffle tickets in areas where raffle tickets are authorized to be sold by this article.
- (ad) Prior to the sale of any raffle tickets at a registered event, the eligible organization shall ensure that there are security measures in place to protect the health, safety, and welfare of all raffle players and affiliated persons. An eligible organization shall ensure security of the following areas: (1) where raffle ticket sales are conducted; (2) routes to and from the raffle ticket sales area to the raffle ticket reconciliation room and the room where raffle ticket sales moneys are accumulated; (3) where electronic raffle system management

functions and distribution of raffle sales units to direct sellers occurs; and (4) the location where counterfoil tickets are printed and deposited into the container for the manual draw.

- (ae) Prior to the sale of any raffle ticket at a registered event, the eligible organization is responsible for ensuring that every affiliated person participating in the registered event possesses the training, knowledge, and experience necessary to carry out their assigned duties for the registered event.
- (af) An eligible organization, an affiliated person, and any other person or entity required to be registered by this article is required to notify the Bureau immediately about any conduct, activity, or incident that occurs that may be contrary to Penal Code section 320.6, this article, or that may affect the integrity of any registered event. Reports required by this subdivision can be made by e-mail to the Bureau of Gambling Control Criminal Intelligence Unit at BGCCIU@doj.ca.gov or by phone at (916) 227-3325.

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

Reference: Section 320.6, Penal Code.

### **SECTION 2097 Winner Determination**

- (a) Once verified, a registered event shall have only one winning raffle ticket.
- (b) Raffle winners need not be present to claim the prize.
- (c) Prior to conducting the manual draw, the gross receipts from the registered event must be tallied, and the prize amount of the raffle must be determined and publicly announced.
- (d) Every eligible organization shall use a manual draw procedure that ensures that every counterfoil generated after the sale of a raffle ticket has an equal chance of being selected during the manual draw.
- (e) An eligible organization must not conduct a manual draw unless the fiduciary or manual draw supervisor is present. Every manual draw must occur at an authorized public or private site and the entire draw process must be video recorded. All draw numbers in the container must be intermixed before drawing a winning number. A copy of the video recording described in this subdivision must be maintained as part of the records required for the registered event.
- (f) The counterfoil selected as the winner during the manual draw must be validated as sold during the registered event for which the manual draw is conducted.
- (g) Voided raffle tickets shall not qualify toward a prize.
- (h) The raffle player shall present the purported winning raffle ticket to the fiduciary or manual draw supervisor overseeing the registered event for validation as containing the prize winning draw number.
- (i) Every eligible organization is responsible for collecting appropriate identification information and for providing the winner of raffle prize at a registered event with the appropriate tax reporting documentation.
- (j) Every eligible organization must comply with any tax withholding requirements established by the Department of the Treasury, the Internal Revenue Service or the State of California, Franchise Tax Board, and any reporting requirements on monetary transactions imposed by state or federal laws.
- (k) Each eligible organization shall post the winning raffle draw number for each registered event on the affiliated sports team's website and the eligible organization's website. The

winner of a raffle prize at a registered event must present the actual, purchased raffle ticket from the registered event displaying the winning raffle draw number in order to be eligible to redeem the prize. Failure to do so will result in alternative distribution of the raffle prize as provided in Penal Code section 320.6, subdivision (n).

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

#### **SECTION 2098 Minimum Age of Raffle Players**

- (a) Raffle tickets shall be sold only to persons 18 years of age or older.
- (b) It is the responsibility of the eligible organization to ensure that raffle ticket sellers at registered events ask for and are provided a valid government-issued identification by ticket purchasers to ensure that raffle tickets are sold only to persons 18 years of age or older.

Note: Authority cited: Section 320.6, Penal Code. Reference: Section 320.6, Penal Code.

#### **SECTION 2099 Electronic Raffle System**

- (a) With the exception of the manual draw, an electronic raffle system may be used to sell raffle tickets and conduct a raffle as provided for in sections 2096 and 2097 of this article.
- (b) Any electronic raffle system used during a registered event must be in compliance with section 2101 of this article.
- (c) Raffle tickets generated by an electronic raffle system may be provided to a raffle player at a registered event only by an affiliated person.
- (d) An eligible organization may use a portable or wireless raffle sales unit to sell raffle tickets.
- (e) Electronic raffle systems for the sale of raffle tickets must be operated by an affiliated person.

Note: Authority cited: Section 320.6, subdivisions (d) and (g), Penal Code. Reference: Section 320.6, Penal Code.

#### **SECTION 2100 Raffle Tickets – Limitations; Requirements; Information On Raffle Tickets**

- (a) A person shall not be required to buy more than one raffle ticket, or to pay for anything more than the raffle ticket price to enter the raffle at a registered event.
- (b) Each sale of a raffle ticket must be recorded by a receipt issued to the raffle player containing the information required in this section, and a corresponding counterfoil must be printed or detached, and deposited into a container with all other counterfoils generated during the registered event.
- (c) An eligible organization may not print any word or phrase on promotional material or advertising that implies or expresses that a purchase of a raffle ticket is a charitable donation.

- (d) All raffle tickets for a registered event shall be sold at the same price or pursuant to a uniform discounted pricing structure as described in section 2096, subdivision (g), of this article. The eligible organization may not change raffle ticket prices or the pricing structure once sales of raffle tickets at a registered event have commenced.
- (e) All of the following shall be printed on every raffle ticket:
  - (1) The name of the eligible organization conducting the raffle;
  - (2) The Bureau-issued registration identification number for the eligible organization registration;
  - (3) The location, date and time of the corresponding raffle and manual draw;
  - (4) The unique number of the raffle ticket that must not be generated by a random number generator;
  - (5) If different than the eligible organization conducting the raffle, the name of the eligible recipient organization;
  - (6) The statement: "Ticket holders need not be present to win," and the contact information, including the name, phone number, and electronic mail address, of the eligible organization conducting the raffle;
  - (7) The toll-free telephone number approved by the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently "1-800-GAMBLER"; and
  - (8) The time limit for the player to claim the prize, as provided in Penal Code section 320.6.
- (f) An eligible organization may use a non-electronic raffle system that is a two-part, admission style raffle ticket based system, to conduct a raffle, provided that all of the following conditions are met:
  - (1) Two tickets, a raffle ticket and counterfoil, must be printed side by side on a roll with a consecutive number. Both tickets must contain the same draw number.
  - (2) The information required to be printed on the raffle ticket as provided in subdivision (e) of this section is included on the raffle ticket provided to the raffle player.
  - (3) The registered event is conducted in accordance with raffle rules established for the conduct of the raffle, this article, Penal Code section 320.6, and any other applicable federal or state laws.
  - (4) Non-electronic raffle tickets may only be sold to a raffle player at a registered event by an affiliated person.

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

### **SECTION 2101 Electronic Raffle Equipment Standards**

The electronic raffle system used for the sale of raffle tickets by an eligible organization at a registered event must be certified by an independent gaming test laboratory and must meet standards no less stringent than GLI-31, hereby incorporated by reference, and as amended from time to time.

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

## **SECTION 2102 Accounting and Reporting**

- (a) The Bureau may audit the eligible organization's raffle records at any time.
- (b) The eligible organization shall follow the electronic raffle system reporting requirements no less stringent than the current version of GLI-31.
- (c) Within five calendar days of a registered event, the eligible organization shall generate a report containing all of the following information:
  - (1) The date and time of the registered event;
  - (2) Sales totals for the registered event, including the total number of raffle tickets sold, and the total money generated;
  - (3) Direct seller information, including the total number of direct sellers who conducted the sales, and the names and Bureau issued identification number of each;
  - (4) The time raffle ticket sales began and ended;
  - (5) Raffle draw numbers-in-play (series of sequential numbers in the sale of raffle tickets for that registered event);
  - (6) Prize winning raffle draw number;
  - (7) Total prize amount;
  - (8) Status of prize claim;
  - (9) Identification of the prize winner;
  - (10) A sample raffle ticket for the registered event; and
  - (11) The number of voided raffle tickets.
- (d) The eligible organization shall maintain a copy of the report required in (c) as part of the record of the registered event.
- (e) At the Bureau's request, within 72 hours, every eligible organization shall provide the following reports for a registered event:
  - (1) Exception Report – a report that includes system exception information, including but not limited to, changes to system parameters, corrections, voids, and/or overrides;
  - (2) Raffle Bearer Ticket Report – a report that includes a list of all electronic raffle tickets sold, including all associated raffle draw numbers, the selling price and raffle sales unit identifiers, and a detailed description of all raffle tickets sold at each price point, if applicable;
  - (3) Sales by Raffle Sales Unit – a report that includes a breakdown of each raffle sales unit's total ticket sales (including the raffle draw numbers) and any voided or misprinted tickets;
  - (4) Voided Draw Number Report – a report that includes a list of all draw numbers that have been voided, including their corresponding electronic raffle system generated validation numbers;
  - (5) Raffle Sales Unit Event Log – a report listing all events or disruptions recorded for each raffle sales unit, including the date, time and brief description of the event and/or identifying code;
  - (6) Raffle Sales Unit Corruption Log – a report that lists all raffle sales units unable to be reconciled to the system, including the raffle sales unit identifier, raffle sales unit operator, and the money collected;



- (7) Raffle Seller Report – a report that lists the total raffle tickets sold, the amount of money collected, any overages or shortages in money collected, and the actions taken to correct overages/shortages; and
- (8) Any other report listed in the Electronic Accounting and Reporting Section of the GLI-31 but not listed above.

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

### **SECTION 2103 Eligible Organization's Raffle Rules**

- (a) Raffle rules must be posted at kiosk locations and, where available, on the eligible organization's website.
- (b) Every eligible organization shall establish and adhere to its raffle rules for the conduct of the raffle. At a minimum, the raffle rules shall contain all of the following information:
  - (1) The eligible organization's name;
  - (2) The registration number issued by the Bureau for the eligible organization;
  - (3) The price of the raffle ticket, including, if applicable, the price points for the purchase of tickets at a discounted rate;
  - (4) The method by which the prize winner will be determined;
  - (5) The manner for how a prize may be claimed;
  - (6) The contingency plan in the event that any aspects of the registered event is unable to be conducted (weather delay, power outage, emergency, or other reasonably unforeseeable event);
  - (7) The prize redemption claim period for the registered event;
  - (8) The alternate prize distribution if the winning ticket holder fails to claim the prize from the registered event;
  - (9) Eligibility information for raffle players;
  - (10) Eligibility information for the recipient of a raffle prize;
  - (11) Prize restriction;
  - (12) Identification of locations where raffle tickets may be purchased at the registered event;
  - (13) Any disclaimers;
  - (14) Publicity release;
  - (15) Choice of law and jurisdiction; and
  - (16) The effective date of the raffle rules.
- (c) Every eligible organization must: (i) post its raffle rules on its website and in a conspicuous place at the registered event; and (ii) print the raffle rules in a sufficient number for distribution to all interested persons who are eligible to purchase a raffle ticket at the registered event.

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

### **SECTION 2104 Retention of Raffle Records and Reports**

- (a) Every eligible organization must retain registered event counterfoil tickets for one month after awarding the prize or until alternative distribution has been made if no raffle player claims the prize pursuant to Penal Code section 320.6, subdivisions (m) or (n), as applicable.
- (b) Every eligible organization must retain following the end of the registered event, server data, any electronic reports or records, and any records stored externally from the server on durable electronic media for five years.
- (c) Records pertaining to every registered event shall be completed and maintained in a current and accurate manner in accordance with these regulations for a period of five years.
- (d) Reports and all documents supporting entries made in any reports required by this article for a registered event shall be available to the Bureau on site at the venue.

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

### **SECTION 2105 Accountability; Lawful Use of Proceeds**

- (a) Every eligible organization shall be accountable for all cash, raffle-related products for a registered event, financial statements, bank-validated deposit slips for all proceeds from the registered event, and bank statements from all financial accounts where proceeds from the registered event were deposited or transferred.
- (b) In accordance with Penal Code section 320.6, all proceeds generated by any registered event shall be devoted exclusively to the lawful purposes.
- (c) To ensure that all proceeds are used for the lawful purposes of the eligible organization or the eligible recipient organization, all financial accounts into which proceeds from the registered event are deposited or transferred shall be open for review and inspection by the Bureau.
- (d) All moneys derived from the conduct of the registered event shall be deposited into the eligible organization's financial account within one business day of the registered event.
- (e) Prize payments and distributions for the lawful purposes of the eligible organization or eligible recipient organization are the only allowable expenditures from the proceeds of the registered event.

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

### **SECTION 2106 Advertising**

- (a) Any advertising in printed media, television, radio, or internet for a registered event shall include all of the following information:
  - (1) The name of the eligible organization conducting the raffle;
  - (2) The Bureau-issued registration identification number for the eligible organization;
  - (3) The location, date and time of the corresponding manual draw for the raffle;
  - (4) The price of the raffle ticket;
  - (5) If different than the eligible organization conducting the raffle, the name of the eligible recipient organization;

- (6) The statement: "Ticket holders need not be present to win," and the contact information, including the name, phone number, and electronic mail address, of the eligible organization conducting the raffle; and
- (7) The toll-free telephone number approved by the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently "1-800-GAMBLER."
- (b) Any advertisement on the Internet must comply with Penal Code section 320.6, subdivision (h)(2).

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

#### **SECTION 2107 Eligible Organization – Annual Financial Report**

Every eligible organization shall submit a completed Major League Sports Raffle Eligible Organization Annual Report (BGC 204; Orig. 01/2016) documenting the information required pursuant to Penal Code section 320.6, subdivision (o)(12)(A). The reports required by this section shall be available to the public via the online search portal of the Attorney General's Registry of Charitable Trusts maintained pursuant to Government Code section 12584.

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

#### **SECTION 2108 Electronic Raffle System, Venue Requirements**

- (a) If the electronic raffle system relies on computer networks and/or wireless (Wi-Fi) services provided at the venue, the equipment must be housed in a permanent, secure location, under constant surveillance, and the network must be stable.
- (b) The fiduciary or an affiliated person designated by the fiduciary person who is qualified to address technical problems must be available before, during, and after the manual draw to provide technical support for the networks.
- (c) Computer network or Wi-Fi equipment utilized at an outdoor event must be located in a non-public, supervised area during the conduct of the registered event.

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

#### **SECTION 2109 Proper Functioning of Raffle Equipment**

- (a) Prior to each registered event, the fiduciary or an affiliated person designated by the fiduciary, shall ensure that any electronic raffle system used to conduct a raffle is configured correctly, functioning properly, and fully operational.
- (b) The fiduciary or an affiliated person designated by the fiduciary must verify and document that the electronic raffle system is configured correctly, functioning properly, and fully operational by completing a BGC-207 Major League Sports Raffle Electronic Raffle System and Equipment Checklist and Test Draw prior to each registered event. Every

eligible organization shall maintain the form required to be completed by this subdivision for a period of three years.

- (c) Affiliated persons are not permitted to restart a raffle sales unit or otherwise adjust any associated network equipment for any reason without the oversight of the fiduciary or the oversight of an affiliated person designated by the fiduciary.
- (d) If for any reason any parts of the electronic raffle system, such as the raffle sales unit, printers, or associated network, do not function properly prior to, or during, the sale of any raffle ticket, the eligible organization must notify the Bureau immediately and may either use a non-electronic raffle system that is a two-part, admission-style raffle ticket based system, or cancel the registered event.

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

### **SECTION 2130 Violations**

- (a) All authorizations granted to eligible organizations by the Bureau pursuant to this article are granted on condition that the eligible organization will operate the registered event in a manner suitable to protect the public health, safety, and general welfare of the residents of the state. The responsibility for the employment and maintenance of suitable methods of operation rests with the eligible organization, and willful or persistent use or toleration of methods of operation deemed unsuitable by the Bureau shall constitute grounds for registration revocation or other disciplinary action.
- (b) No registrant shall conduct a raffle in violation of any provision of Penal Code section 320.6, or this article.
- (c) No registered manufacturer or distributor of raffle-related products or services shall provide equipment or services for the conduct of a raffle in violation of Penal Code section 320.6 or this article.
- (d) No registrant shall fail to meet the disclosure and reporting requirements set forth in this article.
- (e) Each eligible organization shall maintain security controls over the venue to protect the public health, safety, and general welfare of the raffle players, and to protect the operations related to the conduct of the registered event.

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

### **SECTION 2131 Discipline**

- (a) Administrative actions commenced by the Bureau, pursuant to subdivisions (p) and (q), of Penal Code section 320.6 shall proceed under chapter 5 (commencing with section 11500) of part 1 of division 3 of title 2 of the Government Code.
- (b) The Bureau, in its discretion, may issue to a registrant warning notices, notices to cure, advisory letters regarding violations or possible violations of law, or withdraw any notice or letter upon further investigation.

Note: Authority cited: Section 320.6, subdivisions (p) and (q), Penal Code. Reference: Section 320.6, Penal Code.

### **SECTION 2132 Penalties**

For any administrative actions based on a violation of Penal Code section 320.6, this article, previously imposed disciplinary or registration condition, or laws materially related to suitability for registration, the Bureau may seek one or more of the following remedies:

- (a) Revoke the registration or approval;
- (b) Suspend the registration or approval;
- (c) Impose any condition, limitation, order, or directive on the registration or approval;
- (d) Impose any fine or monetary penalty on a registrant;
- (e) Stay, in whole or in part, the imposition of a revocation or suspension against the holder of a registration or approval;
- (f) Order the registration or approval holder to pay a monetary penalty in lieu of all or a portion of a revocation or suspension; or
- (g) Impose recovery of costs incurred in investigating or prosecuting an action against a registrant or applicant.

Note: Authority cited: Section 320.6, subdivisions (p) and (q), Penal Code. Reference: Section 320.6, Penal Code.



**MAJOR LEAGUE SPORTS RAFFLE**  
**ELIGIBLE ORGANIZATION ANNUAL REGISTRATION FORM**  
FOR CALENDAR YEAR 20\_\_

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

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

For Official Use Only
CT Status _____
FTB Status _____
SOS Status _____

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

**SECTION 1: ORGANIZATION INFORMATION**

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

**SECTION 2: TAX EXEMPT STATUS**

Specify the organization's tax exempt status pursuant to California Revenue and Taxation Code section:

☐ 23701a ☐ 23701b ☐ 23701d ☐ 23701e ☐ 23701f ☐ 23701g ☐ 23701k ☐ 23701l ☐ 23701t ☐ 23701w

Has the organization applied for or been granted IRS tax exempt status? ☐ YES ☐ NO

Date of application for IRS tax exemption  OR Date of exemption letter

**SECTION 3: FIDUCIARY INFORMATION**

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

Name and Title	Date
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**SECTION 4: CERTIFICATION**

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

Fiduciary's Signature: \_\_\_\_\_

Fiduciary's Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_



## MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION ANNUAL REGISTRATION FORM

### **Privacy Notice**

As Required by Civil Code § 1798.17

### **Collection and Use of Personal Information**

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

### **Providing Personal Information**

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

### **Access to Your Information**

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

### **Possible Disclosure of Personal Information**

In order to process your application, we may need to share the information you give to us with law enforcement or regulatory agencies for investigation of unlawful activity, or for licensing or regulatory purposes.

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

### **Contact Information**

For questions about this notice or access to your records, you may contact the Department of Justice, Bureau of Gambling Control, at P.O. Box 168024, Sacramento, CA 95816-8024; phone 916-227-3584; or, e-mail at [GamblingControl@doj.ca.gov](mailto:GamblingControl@doj.ca.gov).



ADOPT  
**MAJOR LEAGUE SPORTS RAFFLE**  
**UNPAID VOLUNTEER or INDIVIDUAL AFFILIATED PERSON**  
**ANNUAL REGISTRATION FORM**

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

FOR CALENDAR YEAR 20\_\_

Pursuant to California Penal Code section 320.6, persons affiliated with an eligible organization conducting major league sports raffle(s) or unpaid volunteers of eligible organization or an eligible recipient organization are required to register annually with the Department of Justice. This form shall be used for the registration of an individual affiliated person or unpaid volunteer of an eligible organization or an eligible recipient organization for which the eligible organization has not submitted a registration application.

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

**SECTION 1: APPLICANT INFORMATION**

Applicant's Full Name (*person completing form*)

Government Issued Identification Information

Date of Birth (mm/dd/yyyy)

Home Address (*street, city, state, zip code*)

Daytime Telephone Number

Mailing Address (*if different from above*)

Alternative Contact Telephone #

**SECTION 2: ELIGIBLE ORGANIZATION AFFILIATION INFORMATION**

Name of Eligible Organization

Eligible Organization Address (*street, city, state, zip code*)

Federal Tax ID

E-Mail Address (*if applicable*)

Telephone Number

**SECTION 3: ELIGIBLE RECIPIENT ORGANIZATION INFORMATION**

Name of Eligible Recipient Organization

Eligible Recipient Organization Address (*street, city, state, zip code*)

Federal Tax ID

E-Mail Address (*if applicable*)

Telephone Number

**SECTION 4: CERTIFICATION**

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

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_





**MAJOR LEAGUE SPORTS RAFFLE  
UNPAID VOLUNTEER or INDIVIDUAL AFFILIATED PERSON  
ANNUAL REGISTRATION FORM**

**Privacy Notice**

As Required by Civil Code § 1798.17

**Collection and Use of Personal Information**

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

**Providing Personal Information**

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

**Access to Your Information**

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

**Possible Disclosure of Personal Information**

In order to process your application, we may need to share the information you give to us with law enforcement or regulatory agencies for investigation of unlawful activity, or for licensing or regulatory purposes.

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

**Contact Information**

For questions about this notice or access to your records, you may contact the Department of Justice, Bureau of Gambling Control, at P.O. Box 168024, Sacramento, CA 95816-8024; phone 916-227-3584; or, at [GamblingControl@doj.ca.gov](mailto:GamblingControl@doj.ca.gov).



ADOPT  
**MAJOR LEAGUE SPORTS RAFFLE**  
**MANUFACTURER AND DISTRIBUTOR OF PRODUCTS OR SERVICES**  
**ANNUAL REGISTRATION FORM**  
FOR CALENDAR YEAR 20\_\_

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

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

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

**SECTION 1: ENTITY INFORMATION**

Applicant's Full Name ( <i>person completing form</i> )		Title
Business Name	Doing Business As ( <i>if different than Business Name</i> )	
Business Address ( <i>street, city, state, zip code</i> )		Business Telephone Number
Mailing Address ( <i>if different from above</i> )		Business Fax Number
City or County of Business License	Business License or Tax Certificate Number	Business License Expiration Date
Federal Tax ID	E-Mail Address ( <i>if applicable</i> )	Website Address ( <i>if applicable</i> )

**SECTION 2: RAFFLE-RELATED PRODUCTS AND SERVICES**

Please indicate the products and/or services that the business provides:

- |  |   |
|--|---|
| <input type="checkbox"/> Electronic Accounting & Reporting System Software | <input type="checkbox"/> Electronic Raffle Ticket Sales Printer |
| <input type="checkbox"/> Electronic Accounting & Reporting System          | <input type="checkbox"/> Electronic Raffle Ticket Paper         |
| <input type="checkbox"/> Electronic Raffle System Security Component       | <input type="checkbox"/> Counterfoil Container                  |
| <input type="checkbox"/> Electronic Raffle System Server                   | <input type="checkbox"/> Admission-style Raffle Tickets         |
| <input type="checkbox"/> Electronic Raffle System Server Software          | <input type="checkbox"/> Wide Area Network Component            |
| <input type="checkbox"/> Electronic Raffle Ticket Sales Device             |   |

Other



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

**SECTION 3: MANUFACTURER LICENSE INFORMATION**

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

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

☐ No

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

Gaming Agency Name	License Number from that Agency	Expiration Date

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

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Date \_\_\_\_\_



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

**Privacy Notice**

As Required by Civil Code § 1798.17

**Collection and Use of Personal Information**

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

**Providing Personal Information**

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

**Access to Your Information**

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

**Possible Disclosure of Personal Information**

In order to process your application, we may need to share the information you give to us with law enforcement or regulatory agencies for investigation of unlawful activity, or for licensing or regulatory purposes.

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

**Contact Information**

For questions about this notice or access to your records, you may contact the Department of Justice, Bureau of Gambling Control, at P. O. Box 168024, Sacramento, CA 95816-8024; phone 916-227-3584; or, e-mail at [GamblingControl@doj.ca.gov](mailto:GamblingControl@doj.ca.gov).



# MAJOR LEAGUE SPORTS RAFFLE AFFILIATED PERSON ANNUAL REGISTRATION FORM FOR CALENDAR YEAR 20

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

Pursuant to California Penal Code section 320.6, person(s) affiliated with an eligible organization who conduct major league sports raffle(s) must register annually with the Department of Justice. This form is only for an eligible organization to register its affiliated persons. If an additional sheet is needed, please attach a listing of the requested information on a separate sheet of paper.

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

## SECTION 1: INFORMATION

Eligible Organization/Team or Association Affiliation

Full Name of Fiduciary (person completing this form)

Daytime Telephone Number

Eligible Organization Address (street, city, state, zip code)

Mailing Address (if different from above)

## SECTION 2: RAFFLE-RELATED DUTIES

Please indicate with an "X" in the appropriate box the raffle-related duties the affiliated person will perform:

[illegible]



## MAJOR LEAGUE SPORTS RAFFLE AFFILIATED PERSON ANNUAL REGISTRATION FORM

### SECTION 3: CERTIFICATION

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

Fiduciary's Signature: \_\_\_\_\_

Fiduciary's Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_

### **Privacy Notice**

As Required by Civil Code § 1798.17

### **Collection and Use of Personal Information**

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

### **Providing Personal Information**

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

### **Access to Your Information**

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

### **Possible Disclosure of Personal Information**

In order to process your application, we may need to share the information you give us with law enforcement or regulatory agencies for investigation of unlawful activity, or for licensing or regulatory purposes.

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

### **Contact Information**

For questions about this notice or access to your records, you may contact the Department of Justice, Bureau of Gambling Control, at P.O. Box 168024, Sacramento, CA 95816-8024; phone 916-227-3584; or, e-mail at [GamblingControl@doj.ca.gov](mailto:GamblingControl@doj.ca.gov).

ADOPT

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



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

Annual Report Period: \_\_\_\_\_

Eligible Organization's Name: \_\_\_\_\_

Eligible Organization's Registration Number: \_\_\_\_\_

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

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

## MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION ANNUAL REPORT

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



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

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

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

**CERTIFICATION**

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

Fiduciary's Signature	
Fiduciary's Printed Name	Date

## MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION ANNUAL REPORT

### **Privacy Notice**

As Required by Civil Code § 1798.17

### **Collection and Use of Personal Information**

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

### **Providing Personal Information**

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

### **Access to Your Information**

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

### **Possible Disclosure of Personal Information**

In order to process your application, we may need to share the information you give to us with law enforcement or regulatory agencies for investigation of unlawful activity, or for licensing or regulatory purposes.

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

### **Contact Information**

For questions about this notice or access to your records, you may contact the Department of Justice, Bureau of Gambling Control, at P.O. Box 168024, Sacramento, CA 95816-8024; phone 916-227-3584; or, e-mail at [GamblingControl@doj.ca.gov](mailto:GamblingControl@doj.ca.gov).



## MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION RAFFLE REGISTRATION FORM FOR CALENDAR YEAR 20\_\_

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

Pursuant to California Penal Code section 320.6, an eligible organization that wishes to conduct major league sports raffle(s) must register the raffle(s) with the Department of Justice. This form is for the registration of raffle(s) for regular season and post-season home games.

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

[illegible]



## MAJOR LEAGUE SPORTS RAFFLE ELIGIBLE ORGANIZATION RAFFLE REGISTRATION FORM

### SECTION 3: CERTIFICATION

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

Fiduciary's Signature: \_\_\_\_\_

Fiduciary's Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_

### **Privacy Notice**

As Required by Civil Code § 1798.17

### **Collection and Use of Personal Information**

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

### **Providing Personal Information**

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

### **Access to Your Information**

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

### **Possible Disclosure of Personal Information**

In order to process your application, we may need to share the information you give to us with law enforcement or regulatory agencies for investigation of unlawful activity, or for licensing or regulatory purposes.

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

### **Contact Information**

For questions about this notice or access to your records, you may contact the Department of Justice, Bureau of Gambling Control, at P. O. Box 168024, Sacramento, CA 95816-8024; phone 916-227-3584; or, e-mail at [GamblingControl@doj.ca.gov](mailto:GamblingControl@doj.ca.gov).

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



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

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

**SECTION 1 - Eligible Organization Information**

Eligible Organization/Team or Association Affiliation Name:			
Address (Numbers/Street)	City	State	Zip Code
Mailing Address (if different than above)	City	State	Zip Code
Phone Number	Fax Number	Web Address	
Fiduciary Name	Title		
Phone Number	Fax Number	E-Mail Address	

**SECTION 2 - Manufacturer License Information**

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

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

☐ No

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

Gaming Agency Name	License Number from that Agency	Expiration Date

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

### SECTION 3 - Equipment Information

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

Model Name	Model Number
Software (Firmware) Version	Software (Firmware Build Date)

Answer the following questions regarding the equipment model and its designated software version (if applicable) listed above.

1. Description of equipment:	
2. Has the model and software version been previously tested or certified by an independent gaming test laboratory? <b>If yes, attach copies of certification documents.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
3. Is this equipment model leased by your organization?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4. Is this equipment model owned by your organization?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Model Name	Model Number
Software (Firmware) Version	Software (Firmware Build Date)

Answer the following questions regarding the equipment model and its designated software version (if applicable) listed above.

1. Description of equipment:	
2. Has the model and software version been previously tested or certified by an independent gaming test laboratory? <b>If yes, attach copies of certification documents.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
3. Is this equipment model leased by your organization?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4. Is this equipment model owned by your organization?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Model Name	Model Number
Software (Firmware) Version	Software (Firmware Build Date)

Answer the following questions regarding the equipment model and its designated software version (if applicable) listed above.

1. Description of equipment:	
2. Has the model and software version been previously tested or certified by an independent gaming test laboratory? <b>If yes, attach copies of certification documents.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
3. Is this equipment model leased by your organization?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4. Is this equipment model owned by your organization?	<input type="checkbox"/> YES <input type="checkbox"/> NO

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

### SECTION 4 - CERTIFICATION / SIGNATURE

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

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

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

Fiduciary's Signature

Fiduciary's Printed Name

Date

### Privacy Notice

As Required by Civil Code § 1798.17

### Collection and Use of Personal Information

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

### Providing Personal Information

All the personal information requested in this form must be provided. If you do not provide this information, your application will be denied.

### Access to Your Information

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### Possible Disclosure of Personal Information

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

- In response to a Public Records Act request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law; or
- In response to a court or administrative order, a subpoena, or a search warrant.

### Contact Information

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ADOPT  
**Major League Sports Raffle  
Electronic Raffle System and Equipment  
Checklist and Test Draw**

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

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

Event/Venue:

Registered Event Number

Date:

Name of Fiduciary or Designated Affiliated Person

**Equipment Information**

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

b. Raffle ticket printers: Make/Model

c. Stand Alone Kiosk: Make/Model and Quantity

d. Counterfoil Printers: Make/Model and Quantity

**Equipment Location**

e. Dedicated Server

f. Secure Server Location

**Passwords and Access**

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Verified Password Access to Server | <input type="checkbox"/> Deny Remote Access During a Game | <input type="checkbox"/> Remote Access Restrictions |
| <input type="checkbox"/> RSU Access Controls                | <input type="checkbox"/> Firewall Configuration           | <input type="checkbox"/> Non-routable IP address    |

**Miscellaneous**

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Wireless Encryption           | <input type="checkbox"/> RSU Physical Security          | <input type="checkbox"/> Uninterruptible Power Supply Support |
| <input type="checkbox"/> RSU Communication with Server | <input type="checkbox"/> Backup and Recovery Procedures |   |



## Major League Sports Raffle Electronic Raffle System and Equipment Checklist and Test Draw

### Miscellaneous (continued)

- ☐ Photograph Counterfoil Printer(s) and Counterfoil Container Layout in Venue
- ☐ RSU locations (include a map identifying locations sales will occur and location where RSUs not in use are stored)

Identify personnel with designated responsibility of any part of the system


### Test Draw

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

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

☐  
☐  
☐

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

b. Sell 100 tickets from portable devices (if in use) and/or kiosk (if in use)

☐

c. Void 15 tickets.

☐

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

☐

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

☐

i. Winner number selected

☐

f. Complete winning number verification process.

☐

g. Announce winning number (public address, scoreboard, or other method used at the venue)

☐

h. Generate, save and collect Raffle Bearer Ticket Report and Voided Draw Number Report in Excel format (pursuant to Cal. Code. Regs., tit. 11, § 2102)

☐

i. Collect all test raffle tickets.

☐

j. Collect all counterfoil tickets from the counterfoil container.

☐

k. Printed information on bearer ticket must meet Cal. Code. Regs., tit. 11, § 2100 requirements:

- 1) The name of the eligible organization conducting the raffle;
- 2) The Bureau-issued registration identification number for the eligible organization registration;
- 3) The location, date and time of the corresponding raffle and manual draw;
- 4) The unique number of the raffle ticket that must not be generated by a random number generator;
- 5) If different than the eligible organization conducting the raffle, the name of the eligible recipient organization;
- 6) The statement: "Ticket holders need not be present to win," and the contact information, including the name, phone number, and electronic mail address, of the eligible organization conducting the raffle;
- 7) The toll-free telephone number approved by the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently "1-800-GAMBLER," and
- 8) The time limit for the raffle player to claim the prize, as provided in Penal Code section 320.6.

☐

**Major League Sports Raffle  
Electronic Raffle System and Equipment  
Checklist and Test Draw**

<b>Test Draw (continued)</b>	
l. Use barcode scanner to scan counterfoil tickets (if applicable).	<input type="checkbox"/>
m. Verify printed counterfoil ticket numbers match with Raffle Bearer Ticket Report.	<input type="checkbox"/>
n. Remove raffle ticket paper from counterfoil printer or replace with low paper cartridge if available.	<input type="checkbox"/>
o. Sell additional tickets until paper runs out, or attempt to sell tickets with no paper. Replace paper. Document observations.	<input type="checkbox"/>
p. If available, change battery for low power battery and sell until battery runs out of power. Document observations.	<input type="checkbox"/>
q. Test low/no paper condition in counterfoil printer. Manually disable all counterfoil printers except one:	<input type="checkbox"/>
i. Insert paper roll that is low on paper into the remaining active printer. Check for low paper signal from printer.	<input type="checkbox"/>
ii. Sell tickets normally from a RSU until printer is low on paper. Observe printer behavior and document any issues	<input type="checkbox"/>
r. If low paper is not possible, disable all printers.	<input type="checkbox"/>
i. Check for paper out signal from printer (Paper end/red LED) and server.	<input type="checkbox"/>
s. Replace paper when it has run out. Verify printer restarts on paper replacement.	<input type="checkbox"/>
t. Test RSU devices for non-WiFi operation.	<input type="checkbox"/>
i. Close sales on RSUs and close the test draw on central server.	<input type="checkbox"/>
ii. Verify that all sales have been uploaded. Photograph resulting screens.	<input type="checkbox"/>
iii. Select a winning number from the counterfoil container and complete the winning number verification process.	<input type="checkbox"/>
iv. Generate, save and collect Raffle Bearer Ticket Report in Excel format: (pursuant to Cal. Code. Regs., tit. 11, § 2102)	<input type="checkbox"/>
v. Collect all test raffle tickets.	<input type="checkbox"/>
vi. Collect all counterfoil tickets from the counterfoil container.	<input type="checkbox"/>
vii. Verify printed information on bearer ticket must meet Cal. Code. Regs., tit. 11, § 2100 requirements.	<input type="checkbox"/>

<b>CERTIFICATION</b>	
<i>I certify under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, the information contained herein and in any attachments, is true, accurate, and complete.</i>	
Name of Person Completing this Check List	
Title	
Signature	Date
Fiduciary's Signature	
Fiduciary's Printed Name	Date



## **STANDARD SERIES**

**GLI-31:**

*Electronic Raffle Systems*

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**Version: Version 1.1**

**Release Date: July 24, 2015**



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## ABOUT THIS STANDARD

This Standard has been produced by **Gaming Laboratories International (GLI)** for the purpose of providing independent test reports and/or certifications to regulators indicating the state of compliance of various suppliers' devices and systems with the requirements set forth herein.

This document is intended to be used by regulatory agencies, operators, and industry suppliers as a compliance guideline for technologies pertaining to electronic raffles. The creation of this document is in response to regulatory agencies which have requested technical compliance guidance regarding electronically conducted raffles. This standard is not intended to represent a set of rigid requirements that every raffle system must comply with, as the operation of raffles varies widely due to jurisdictional laws, varying levels of acceptable security measures and differing implementations of raffle technologies. This standard is also not intended to mandate specific operational practices, but rather provide a guideline regarding the technologies used to facilitate these raffles. It should be stressed that many of the technical guidelines addressed within this document may be satisfied through manual operational controls as approved by each regulatory agency. Any technical requirement not latently supported by a raffle system will be clearly disclosed to the regulatory agency in the certification report to ensure that sufficient internal controls are in place to achieve local regulatory objectives. This standard is intended to serve only as a starting point for regulatory agencies and may be supplemented with additional jurisdictional requirements as well as Minimum Internal Control Standards.

GLI-31 should be viewed as a living document that provides a level a guidance that will periodically be tailored to align with this developing industry over time as raffle implementations and operations evolve.

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# Table of Contents

<b>CHAPTER 1</b>	<b>7</b>
1.0 STANDARD OVERVIEW	7
1.1 Introduction	7
1.2 Purpose of Standard	8
1.3 Definitions	9
1.4 Phases of Testing	10
<b>CHAPTER 2</b>	<b>11</b>
2.0 RAFFLE MANAGEMENT REQUIREMENTS	11
2.1 Introduction	11
2.2 Raffle Configuration	11
2.3 Bearer Ticket Issuance	12
2.4 Counterfoil Requirements	13
2.5 Raffle Prize Display Requirements	14
2.6 Raffle Drawing Requirements	14
2.7 Winning Ticket Redemption	15
2.8 Electronic Accounting and Reporting	16
<b>CHAPTER 3</b>	<b>17</b>
3.0 RAFFLE SALES UNIT (RSU) REQUIREMENTS	17
3.1 Introduction	17
3.2 Raffle Sales Unit Operations and Security	17
3.3 Bearer Ticket Printers	18
3.4 Critical Memory Requirements	19
3.5 RSU Program Requirements	20
3.6 Independent Control Program Verification	21
<b>CHAPTER 4</b>	<b>22</b>
4.0 RANDOM NUMBER GENERATOR REQUIREMENTS	22
4.1 Introduction	22
4.2 Random Number Generator (RNG) Requirements	22
4.3 Scaling	24
4.4 Number Selection Process	25
<b>CHAPTER 5</b>	<b>26</b>
5.0 ELECTRONIC RAFFLE SYSTEM SERVERS	26
5.1 Introduction	26
5.2 General Operation & Server Security	26
5.3 System Clock Requirements	28
5.4 RSU Management Requirements	28
5.5 Counterfoil Printers	29
5.6 Significant Events	30
5.7 Backups and Recovery	31
5.8 Verification of System Software	32
<b>CHAPTER 6</b>	<b>33</b>
6.0 COMMUNICATION REQUIREMENTS	33
6.1 Introduction	33

6.2	<i>System Security</i> .....	34
6.3	<i>Remote Access</i> .....	35
6.4	<i>Wide Area Network Communications</i> .....	36
6.5	<i>Wireless Network Communications</i> .....	36



# CHAPTER 1

## 1.0 STANDARD OVERVIEW

### 1.1 Introduction

**1.1.1 General Statement.** Gaming Laboratories International, LLC (GLI) has been testing gaming devices since 1989. Over the years, we have developed numerous standards for jurisdictions all over the world. In recent years, many jurisdictions have opted to ask for the development of industry standards without creating their own standards documents. In addition, with technology changing almost monthly, new technology is not being incorporated quickly enough into existing standards due to the long process of administrative rule making. This document, GLI Standard 31, will set forth the technical Standards for Electronic Raffle Systems.

**1.1.2 Document History.** It is the policy of Gaming Laboratories International, LLC to update this document as often as possible to reflect changes in technology, testing methods, or cheating methods. This document will be distributed without charge to all those who request it. It may be obtained by downloading it from our website at [www.gaminglabs.com](http://www.gaminglabs.com) or by writing to us at:

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## 1.2 Purpose of Standard

**1.2.1 General Statement.** The purpose of this technical standard is:

- a) To eliminate subjective criteria in analyzing and certifying electronic raffle systems.
- b) To only test those criteria which impact the credibility and integrity of the electronic raffle system from both the revenue collection and participant's point of view.
- c) To create a standard that will ensure that electronic raffle systems are fair, secure, and able to be audited and operated correctly.
- d) To distinguish between local public policy and laboratory criteria. At GLI, we believe that it is up to each local regulatory body to set their public policy with respect to the electronic raffle system.
- e) To recognize that testing which does not impact the credibility and integrity of the electronic raffle system (such as Electrical Testing) should not be incorporated into this standard but left to appropriate test laboratories that specialize in that type of testing. Except where specifically identified in the standard, testing is not directed at health or safety matters. These matters are the responsibility of the manufacturer, purchaser, and operator of the equipment.
- f) To construct a standard that can be easily updated, changed, or modified to allow for new technology.
- g) To construct a standard that does not specify any particular technology, method or algorithm. The intent is to allow a wide range of methods to be used to conform to the standards, while at the same time, to encourage new methods to be developed.

**1.2.2 No Limitation of Technology.** One should be cautioned that this standard should not be read in such a way that limits the use of future technology. The document should not be interpreted that if the technology is not mentioned, then it is not allowed. Quite to the contrary, as technology evolves, the standard will be updated to make accommodations for the new technology.

## 1.3 Definitions

**1.3.1 General Statement.** The following are commonly used terms in describing the operation of raffles that are used throughout this standard.

- a) Electronic Raffle System is defined as computer software and related equipment used by raffle licensees to sell tickets, account for sales, and facilitate the drawing of tickets to determine the winners.
- b) Draw Number(s) are defined as a uniquely identifiable number(s) that are provided to the purchaser for each chance purchased and may be selected as the winning number for the raffle.
- c) Bearer Ticket(s) is/are defined as an electronic or paper ticket that contains one or more draw numbers purchased.
- d) Validation Number(s) is/are defined as a unique number which may represent one or more draw numbers that will be used to validate the winning number for the raffle.
- e) Counterfoil is defined as an electronic record or paper ticket stub, also known as a barrel ticket, which will be drawn to determine a winner and contains a single draw number matching the player's purchased bearer ticket and may, depending on the type of raffle, contain the name, address, or telephone number of the player.
- f) Raffle Sales Unit (RSU) is defined as a portable and/or wireless device, a remote hard-wired connected device or a standalone cashier station that is used as a point of sale for bearer tickets.

## 1.4 Phases of Testing

**1.4.1 General Statement.** The approval of an Electronic Raffle System will be certified in two phases:

- a) Initial laboratory testing, where the laboratory will test the integrity of the system in conjunction with Raffle Sales Units, in the laboratory setting with the equipment assembled; and
- b) As required by the regulatory body, on-site testing following the initial install of the system to ensure proper configuration of the security applications. This may include, but is not limited to conducting event simulations with and without challenges to system operations, testing the stability of the system at maximum anticipated loads, verifying the internal controls and IT infrastructure at the venue, and any other tests as mandated by the regulatory agency.

# CHAPTER 2

## 2.0 RAFFLE MANAGEMENT REQUIREMENTS

### 2.1 Introduction

**2.1.1 General Statement.** Each electronic raffle system shall have a device or facility that provides for the sale of bearer tickets and the collection and accounting tools needed to track all sales initiated through the raffle system. The system must have the ability to support all Raffle Sales Units (RSUs) whether they are hard-wired or connected wirelessly to ensure that each unit sends or transmits all ticket sales to the system. The system must have the ability to facilitate winner selection by either manual or electronic means.

### 2.2 Raffle Configuration

**2.2.1 Prize Limitations.** The electronic raffle system software must be capable of being configured with a limit or cap on the prize of a raffle drawing which may apply to the maximum amount that may be won.

**2.2.2 Time Limits.** The electronic raffle system software must be capable of setting time limits for when tickets may be purchased for a raffle drawing.

**2.2.3 Configuration Changes.** After the commencement of a raffle, the electronic raffle system software shall not allow changes to parameters which may affect the integrity of the raffle.

## 2.3 Bearer Ticket Issuance

**2.3.1 Bearer Tickets.** After the payment of a fee, participants shall receive a bearer ticket for one or more chances to win a raffle drawing. The bearer ticket must be printed with the following information (at minimum):

- a) Name of organization conducting the raffle
- b) Event Identifier or Location;
- c) One or more unique draw number(s) purchased for the raffle.
- d) Issued date and time (in twenty-four (24) hour format showing hours and minutes);
- e) RSU identifier from which the ticket was generated;
- f) Value or cost of the bearer ticket;
- g) Unique validation number or barcode; and
- h) License number, if applicable;

***NOTE:** It may be permissible for some or all of this information to be contained on the ticket stock itself. Where a series of raffles is conducted by a single operator, tickets for each raffle must be differentiated from the other tickets used in the series.*

**2.3.2 Validation Numbers.** The algorithm or method used by the electronic raffle system to generate the bearer ticket validation number must be unpredictable and ensure against duplicate validation numbers for the raffle currently in progress.

**2.3.3 Voiding a Ticket.** The electronic raffle system must flag or otherwise identify a voided bearer ticket and its corresponding draw number(s). The system shall record at a minimum the draw numbers and the validation number from the voided bearer ticket. Voided draw numbers shall not be able to be resold or reissued for that raffle.

**2.3.4 Additional Printed Information.** It is permissible that a bearer ticket may contain additional printed information, i.e. advertising, logos, coupons, etc. Some of this information

may be contained on the ticket stock itself. Any additional printed information must not impact or obscure the required printed information as noted in sections 2.3.1 of this standard.

## 2.4 Counterfoil Requirements

**2.4.1 Counterfoils.** Where a manual draw is used to determine a winner, all counterfoils used in a raffle drawing must be the same size, shape, and weight. A counterfoil shall be printed or stored electronically for each purchased draw number. If an electronic random number generator is used to determine the winner of the raffle drawing, a printed counterfoil is not required. A counterfoil must only contain one draw number and shall contain the following information, which matches the bearer ticket issued to the player:

- a) Event Identifier or Location;
- b) The draw number
- c) Issued date and time (in twenty-four (24) hour format showing hours and minutes);
- d) Value or cost of the bearer ticket; and
- e) Unique validation number or barcode;

**NOTE:** *It may be permissible for some or all of this information to be contained on the ticket stock itself.*

**2.4.2 Reprinting of Counterfoils.** Where the system supports the reprinting of counterfoil tickets, this facility shall require additional supervised access controls (e.g. password) and the draw numbers for all reprinted counterfoils shall be flagged in the system as reprints.

## 2.5 Raffle Prize Display Requirements

**2.5.1 Raffle Prize Displays.** For systems that support a raffle prize display that is intended to be viewed by participants of the raffle, that display shall indicate the raffle prize in local monetary value using a calculation deemed acceptable by the regulatory body, and represent the current progression of the prize.

***NOTE:** It is accepted that, depending on the medium, communication delays are variable and beyond the knowledge or control of the operator, and the displayed prize amount may be different from the amount recognized in the system.*

**2.5.2 Alternating Displays.** If applicable, it is sufficient to have multiple raffle awards displayed in an alternating fashion.

## 2.6 Raffle Drawing Requirements

**2.6.1 General Statement.** A raffle drawing shall be held at a date, time, place, and in a manner determined by the operator and/or regulatory agency. A raffle drawing shall only be conducted after:

- a) The close of the raffle; and
- b) All sales and voided sales for the particular raffle purchase period have been reconciled.

**2.6.2 Closing the Raffle Purchase Period.** The system must be capable of closing off the sale of bearer tickets at a time determined by the operator. No sales of tickets may occur after the raffle purchase period has been closed. The system must be capable of displaying to the operator by way of the RSU device display that all sales from a particular device have been uploaded, transferred or otherwise communicated to the electronic raffle system.



- a) On verification of the sales data transfer, the RSU device must be capable of being reset or closed
- b) The RSU must not be enabled for any further sales for the current raffle.

**2.6.3 Voided Tickets.** Voided tickets shall not be qualified toward any prize. The system must be capable of reconciling voided sales for the raffle purchase to identify all voided tickets which may be committed to the draw. The system must record an acknowledgement from the event manager that voided tickets have been reconciled before permitting a winning number to be entered into the system for validation.

**2.6.4 Winner Determination.** The operator shall conduct a manual, electronic, or other approved draw procedure which ensures a randomly selected draw number as a winner from all tickets sold. Each drawn counterfoil shall be verified as a sold and valid ticket. This process shall be repeated for each advertised prize.

**2.6.5 Official Drawing Results.** Results of the drawing become official and final after the drawn number is verified as a winning bearer ticket for the respective drawing, and is presented to the participants of the raffle. The system shall display the winning draw on all capable display devices that are intended to be viewed by participants.

## **2.7 Winning Ticket Redemption**

**2.7.1 Winner Verification.** Winning tickets shall be verified prior to payout. Participants must present the bearer ticket to an authorized agent for validation with the system. The system must be capable of verifying the winning draw numbers and shall allow for the validation of draw numbers either manually or through the use of a bar code scanner or equivalent.

***NOTE:*** Amounts won that exceed any jurisdictional specified limit shall require the appropriate documentation to be completed before the winning participant is paid.

## 2.8 Electronic Accounting and Reporting

**2.8.1 System Reporting Requirements.** The system or other equipment shall be capable of producing general accounting reports to include the following information for each draw conducted:

- a) Raffle Drawing Report. A report which includes the following for each raffle drawing:
  - i. Date and time of event.
  - ii. Organization running the event.
  - iii. Sales information (sales totals, refunds, etc).
  - iv. Prize value awarded to participant
  - v. Prize distribution (total raffle sales vs. prize value awarded to participant)
  - vi. Refund totals by event.
  - vii. Draw numbers-in-play count.
  - viii. Winning number(s) drawn (including draw order, call time, and claim status).
- b) Exception Report. A report which includes system exception information, including, but not limited to, changes to system parameters, corrections, overrides, and voids.
- c) Bearer Tickets Report. A report which includes a list of all bearer tickets sold including all associated draw numbers, selling price, and RSU identifier.
- d) Sales by RSU. A report which includes a breakdown of each RSU's total sales (including draw numbers sold) and any voided and misprinted tickets.
- e) Voided Draw Number Report. A report which includes a list of all draw numbers that have been voided including corresponding validation numbers.
- f) RSU Event Log. A report which lists all events recorded for each RSU, including the date and time and a brief text description of the event and/or identifying code.
- g) RSU Corruption Log. A report which lists all RSUs unable to be reconciled to the system, including the RSU identifier, RSU operator, and the money collected.

# CHAPTER 3

## 3.0 RAFFLE SALES UNIT (RSU) REQUIREMENTS

### 3.1 Introduction

**3.1.1 General Statement.** After the payment of a fee, participants shall receive a chance to win a raffle drawing. A chance to win a raffle drawing may be purchased either from an attendant-operated Raffle Sales Unit (RSU) or, as allowed by the regulatory body, a player-operated RSU. Any other methods will be reviewed on a case-by-case basis, as allowed by the regulatory body.

- a) Attendant-Operated Raffle Sales Unit: A participant may purchase a bearer ticket from an attendant-operated RSU by providing payment for the ticket(s) to the attendant. Upon receiving payment, the attendant will provide the participant the bearer ticket(s) purchased by the participant.
- b) Player-Operated Raffle Sales Unit: A participant may purchase a bearer ticket from a player-operated RSU by following the instructions appearing on the screen of the RSU and providing payment for the ticket(s). Upon payment for the ticket(s), the RSU will issue the corresponding bearer ticket(s) purchased by the participant.

### 3.2 Raffle Sales Unit Operations and Security

**3.2.1 General Statement.** An RSU must be capable of generating and printing a bearer ticket with one or more uniquely identifiable draw numbers.

- a) The system must not generate duplicate draw numbers within the same event.
- b) For each draw number generated, there must be one and only one corresponding counterfoil with the same draw number.

- c) The RSU must be capable of providing a transaction receipt in the form of a bearer ticket to a purchaser.

**3.2.2 Access Controls.** Access to raffle sales software shall be controlled by a secure logon procedure. It must not be possible to modify the configuration settings of the RSU without an authorized secure logon.

**3.2.3 Touch Screens.** Touch screens shall be accurate once calibrated and shall maintain that accuracy for at least the manufacturer's recommended maintenance period;

**3.2.4 RSU Interface.** The functions of all buttons, touch or click points represented on the RSU interface shall be clearly indicated within the area of the button, or touch/click point and/or within the help menu. There shall be no functionality available through any buttons or touch/click points on the RSU that are undocumented.

**3.2.5 Communications.** A Raffle Sales Unit must be designed or programmed such that it may only communicate with authorized Electronic Raffle Systems components. The electronic raffle system must have the capability to uniquely identify and authorize each RSU used to sell tickets for a raffle.

**3.2.6 Wireless Raffle Sales Units.** Communication must only occur between the RSU and the Electronic Raffle System via authorized access points.

### **3.3 Bearer Ticket Printers**

**3.3.1 Printing Bearer Tickets.** If the RSU connects to a printer that is used to produce bearer tickets, the bearer ticket shall include information as indicated in section 2.3.1. It may be permissible for some of this information to be contained on the ticket stock itself.

- a) The RSU must control the transfer of ticket data sent to the printer, and only transfer

ticket data to the printer when sufficient space is available in the printer memory to receive the ticket information.

- b) If a barcode forms part of the validation number printed on the bearer ticket, the printer must support the barcode format and print with sufficient resolution to permit validation by a barcode reader.

**3.3.2 Printer Error Conditions.** The bearer ticket printer shall be able to detect and indicate to the operator the following error conditions:

- a) Low battery;
- b) Out of paper/paper low;
- c) Printer disconnected - It is permissible for the system to detect this error condition when it tries to print.
- d) If the unit is capable of reprinting a ticket, the reprinted ticket shall clearly indicate that it is a reprint of the original ticket.

### **3.4 Critical Memory Requirements**

**3.4.1 Critical Memory Defined.** Critical memory is used to store all data that is considered vital to the continued operation of the RSU. Critical memory shall be maintained for the purpose of storing and preserving critical data. This includes, but is not limited to:

- a) When not communicating with the system, recall of all tickets sold including, at minimum, draw numbers and validation numbers; and
- b) RSU configuration data.

**NOTE:** *Critical memory may be maintained by any component(s) of the Electronic Raffle System.*

**3.4.2 Maintenance of Critical Memory.** Critical memory storage shall be maintained by a methodology that enables errors to be identified. This methodology may involve signatures, checksums, partial checksums, multiple copies, time stamps and/or effective use of validity codes.

**3.4.3 Comprehensive Checks.** Comprehensive checks of critical memory shall be made on startup and shall detect failures with an extremely high level of accuracy.

**3.4.4 Unrecoverable Critical Memory.** An unrecoverable corruption of critical memory shall result in an error. Upon detection, the raffle sales unit shall cease to function.

**3.4.5 Backup Requirements.** The RSU must have a backup or archive capability, which allows the recovery of critical data should a failure occur.

### **3.5 RSU Program Requirements**

**3.5.1 Identification.** All programs shall contain sufficient information to identify the software and revision level of the information stored on the RSU, which may be displayed via a display screen.

***NOTE:** The process used in the identification of the software and revision level will be evaluated on a case-by-case basis.*

**3.5.2 Detection of Corruption.** RSU programs shall be capable of detecting program corruption and cause the RSU to cease operations until corrected.

***NOTE:** Program verification mechanisms will be evaluated on a case-by-case basis and approved by the independent test laboratory based on industry-standard security practices.*

**3.5.3 Verification of Updates.** Prior to execution of the updated software, the software must be successfully authenticated on the RSU.

### **3.6 Independent Control Program Verification**

**3.6.1 General Statement.** The RSU shall have the ability to allow for an independent integrity check of the RSU's software from an outside source and is required for all software that may affect the integrity of the raffle. This must be accomplished by being authenticated by a third-party device, or by allowing for removal of the media such that it can be verified externally. Other methods shall be evaluated on a case-by-case basis. This integrity check will provide a means for field verification of the software to identify and validate the program. The test laboratory, prior to device approval, shall evaluate the integrity check method.

***NOTE:** If the authentication program is within the RSU software, the manufacturer must receive written approval from the regulatory body prior to submission and testing by the test laboratory.*

# CHAPTER 4

## 4.0 *RANDOM NUMBER GENERATOR REQUIREMENTS*

### 4.1 Introduction

**4.1.1 General Statement.** The selection process for the winning number shall be random. This may be accomplished through the use of an approved random number generator. The regulations within this section are only applicable to electronic raffle systems in which a Random Number Generator is utilized.

### 4.2 Random Number Generator (RNG) Requirements

**4.2.1 General Statement.** A random number generator shall reside on a Program Storage Device secured in the logic board of the system. The numbers selected by the random number generator for each drawing shall be stored in the system's memory and be capable of being output to produce a winning number. The use of an RNG results in the selection of raffle outcomes in which the selection shall:

- a) Be statistically independent;
- b) Conform to the desired random distribution;
- c) Pass various recognized statistical tests; and
- d) Be unpredictable.

**4.2.2 Applied Tests.** The test laboratory may employ the use of various recognized tests to determine whether or not the random values produced by the random number generator pass the desired confidence level of 99%. These tests may include, but are not limited to:



- a) Chi-square test;
- b) Equi-distribution (frequency) test;
- c) Gap test;
- d) Overlaps test;
- e) Poker test;
- f) Coupon collector's test;
- g) Permutation test;
- h) Kolmogorov-Smirnov test;
- i) Adjacency criterion tests;
- j) Order statistic test;
- k) Runs tests (patterns of occurrences should not be recurrent);
- l) Interplay correlation test;
- m) Serial correlation test potency and degree of serial correlation (outcomes should be independent of the previous game);
- n) Tests on subsequences; and
- o) Poisson distribution.

**NOTE:** *The independent test lab will choose the appropriate tests on a case by case basis depending on the RNG under review.*

**4.2.3 Period.** The period of the RNG, in conjunction with the methods of implementing the RNG outcomes, must be sufficiently large to ensure that all valid, sold numbers are available for random selection.

**4.2.4 Range.** The range of raw values produced by the RNG must be sufficiently large to provide adequate precision and flexibility when scaling and mapping.

**4.2.5 Background RNG Cycling/Activity Requirement.** In order to ensure that RNG outcomes cannot be predicted, adequate background cycling / activity must be implemented between each drawing at a speed that cannot be timed. The rate of background cycling / activity must be sufficiently random in and of itself to prevent prediction.

*NOTE: The test laboratory recognizes that some times during the raffle, the RNG may not be cycled when interrupts may be suspended. This is permitted although this exception shall be kept to a minimum.*

**4.2.6 RNG Seeding/Re-Seeding.** The methods of seeding or re-seeding implemented in the RNG must ensure that all seed values are determined securely, and that the resultant sequence of outcomes is not predictable.

- a) The first seed shall be randomly determined by an uncontrolled event. After every bearer ticket draw, there shall be a random change in the RNG process (new seed, random timer, delay, etc.). This will verify the RNG doesn't start at the same value, every time. It is permissible not to use a random seed; however, the manufacturer must ensure that the selection process will not synchronize.
- b) Unless proven to have no adverse effect on the randomness of the RNG outcomes, or actually improve the randomness of the RNG outcomes, seeding and re-seeding must be kept to an absolute minimum. If for any reason the background cycling / activity of the RNG is interrupted, the next seed value for the RNG must be a function of the value produced by the RNG immediately prior to the interruption.

## **4.3 Scaling**

**4.3.1 Scaling Algorithms.** The methods of scaling (i.e. converting raw RNG outcomes of a greater range into scaled RNG outcomes of a lesser range) must be linear, and must not introduce any bias, pattern or predictability. The scaled RNG outcomes must be proven to pass various recognized statistical tests.

- a) If a random number with a range shorter than that provided by the RNG is required for some purpose within the raffle system, the method of re-scaling, (i.e., converting the number to the lower range), is to be designed in such a way that all numbers within the lower range are equally probable.
- b) If a particular random number selected is outside the range of equal distribution of re-scaling values, it is permissible to discard that random number and select the next in sequence for the purpose of re-scaling.

#### **4.4 Number Selection Process**

**4.4.1 Winning Number Draw.** The winning number selection shall only be produced from sold bearer ticket numbers from the current drawing to be available for selection.

- a) Each valid, sold raffle number shall be available for random selection at the initiation of each drawing;
- b) For raffles which offer multiple awards or drawings with separate buy-ins for each, the winning number selection shall only be produced from sold bearer ticket numbers corresponding with each applicable award or drawing. As winning numbers are drawn, they shall be immediately used as governed by the rules of the raffle (i.e. the bearer tickets are not to be discarded due to adaptive behavior).

**4.4.2 No Corruption from Associated Equipment.** An electronic raffle system shall use appropriate protocols to protect the random number generator and random selection process from influence by associated equipment, which may be communicating with the electronic raffle system.

# CHAPTER 5

## 5.0 *ELECTRONIC RAFFLE SYSTEM SERVERS*

### 5.1 Introduction

**5.1.1 General Statement.** The Electronic Raffle System Server(s) may be located locally, within a single facility or may be remotely located outside of the facility through a Wide Area Network (WAN) as allowed by the regulatory body.

### 5.2 General Operation & Server Security

**5.2.1 Physical Security.** The servers shall be housed in a secure location that has sufficient physical protection against alteration, tampering or unauthorized access.

**5.2.2 Logical Access Control.** The electronic raffle system shall be logically secured through the use of passwords, biometrics, or other means as agreed upon between the regulatory body and the operator. The storage of passwords, PINs, biometrics, and other authentication credentials (e.g. magnetic swipe, proximity cards, embedded chip cards) shall be secure. The system must have multiple security access levels to control and restrict different classes of access to the electronic raffle system.

**5.2.3 Security from Alteration, Tampering, or Unauthorized Access.** The electronic raffle system shall provide a logical means for securing the raffle data against alteration, tampering, or unauthorized access. The following rules also apply to the raffle data within the Electronic Raffle System:

- a) No equipment shall have a mechanism whereby an error will cause the raffle data to automatically clear. Data shall be maintained at all times regardless of whether the server is being supplied with power.
- b) Data shall be stored in such a way as to prevent the loss of the data when replacing parts or modules during normal maintenance.

**5.2.4 Data Alteration.** The Electronic Raffle System shall not permit the alteration of any accounting, reporting or significant event data without supervised access controls. In the event any data is changed, the following information shall be documented or logged:

- a) Data element altered;
- b) Data element value prior to alteration;
- c) Data element value after alteration;
- d) Time and date of alteration; and
- e) Personnel that performed alteration (user login).

**5.2.5 Server Programming.** There shall be no means available for an operator to conduct programming on the server in any configuration (e.g. the operator should not be able to perform SQL statements to modify the database). However, it is acceptable for Network Administrators to perform authorized network infrastructure maintenance with sufficient access rights, which would include the use of SQL statements that were already resident on the system.

**5.2.6 Copy Protection.** Copy protection to prevent unauthorized duplication or modification of software, for servers or RSUs, may be implemented provided that:

- a) The method of copy protection is fully documented and provided to the Test Laboratory, who will verify that the protection works as described; or
- b) The program or component involved in enforcing the copy protection can be individually verified by the methodology described in section 5.7.1.

**5.2.7 UPS Support.** Where the server is a stand-alone application, it must have an Uninterruptible Power Supply (UPS) connected and of sufficient capacity to permit a graceful shut-down and that retains all electronic raffle system data during a power loss. It is acceptable that the electronic raffle system server may be a component of a network that is supported by a network-wide UPS provided that the server is included as a device protected by the UPS.

### **5.3 System Clock Requirements**

**5.3.1 System Clock.** An Electronic Raffle System must maintain an internal clock that reflects the current date and time (in twenty-four (24) hour format showing hours and minutes) that shall be used to provide for the following:

- a) Time stamping of significant events;
- b) Reference clock for reporting; and
- c) Time stamping of all sales and draw events.

**5.3.2 Synchronization Feature.** If multiple clocks are supported the system shall have a facility to synchronize clocks within all system components.

### **5.4 RSU Management Requirements**

**5.4.1 RSU Management Functionality.** An Electronic Raffle System must have a master list of each authorized RSU in operation, including at minimum the following information for each entry:

- a) A unique RSU identification number or corresponding hardware identifier (i.e. MAC);
- b) Operator identification; and
- c) Tickets issued for sale, if applicable.

**NOTE:** *If these parameters can be retrieved directly from the RSU, sufficient controls must be in place to ensure accuracy of the information.*

**5.4.2 RSU Validation.** It is recommended that RSUs be validated at pre-defined time intervals with at least one method of authentication. This time interval shall be configurable based on jurisdictional requirements. The system shall have the ability to remotely disable the RSU after the threshold of unsuccessful validation attempts has been reached.

## **5.5 Counterfoil Printers**

**5.5.1 Counterfoil Printers.** Where printed counterfoils are in use, the printer mechanism shall be able to detect and indicate the following error conditions:

- a) Out of paper - It is permissible for the system to detect this error condition when it tries to print.
- b) Paper low - It is permissible for the system to not lock up for these conditions; however, there should be a means for the attendant to be alerted;
- c) Memory Error;
- d) Printer failure; and
- e) Printer disconnected - It is permissible for the system to detect this error condition when it tries to print.

**5.5.2 Printer Disable.** At any time during an active draw, the operator must have the ability to manually disable a printer and remove the printer from the configuration without affecting the remaining printers or any outstanding print requests.

## 5.6 Significant Events

**5.6.1 Event Logging.** Significant events shall be communicated and logged on the electronic raffle system, which may include:

- a) Connection/Disconnection of an RSU or any component of the system;
- b) Critical memory corruption of any component of the system.
- c) Counterfoil Printer errors:
  - i. Out of paper/paper low;
  - ii. Printer disconnect/failure; and
  - iii. Printer memory error.
- f) Establishment and failure of communications between sensitive Electronic Raffle System components.
- g) Significant event buffer full;
- h) Program error or authentication mismatch;
- i) Firewall audit log full, where supported.
- j) Remote access, where supported; and
- k) Any other significant events as specified by the regulatory agency.

**5.6.2 Surveillance/Security Functionality.** Each significant event conveyed to the electronic raffle system must be stored. An Electronic Raffle System shall provide an interrogation program that enables on-line comprehensive searching of the significant events through recorded data. The interrogation program shall have the ability to perform a search based at least on the following:

- a) Date and time range;
- b) Unique component identification number; and
- c) Significant event identifier.



## **5.7 Backups and Recovery**

**5.7.1 Storage Medium Backup.** The electronic raffle system shall have sufficient redundancy and modularity so that if any single component or part of a component fails, the raffle can continue. Redundant copies of critical data shall be kept on the electronic raffle system with open support for backups and restoration.

- a) All storage shall be through an error checking, nonvolatile physical medium, or an equivalent architectural implementation, so that should the primary storage medium fail, the functions of the electronic raffle system and the process of auditing those functions can continue with no critical data loss.
- b) The database shall be stored on redundant media so that no single failure of any portion of the system would cause the loss or corruption of data.

**5.7.2 Recovery Requirements.** In the event of a catastrophic failure when the electronic raffle system cannot be restarted in any other way, it shall be possible to reload the electronic raffle system from the last viable backup point and fully recover the contents of that backup, including, but not limited to:

- a) Significant Events;
- b) Accounting information;
- c) Reporting information; and
- d) Specific site information such as employee file, raffle set-up, etc.

## 5.8 Verification of System Software

**5.8.1 General Statement.** System software components and modules shall be verifiable by a secure means at the system level denoting Program ID and version. The system shall have the ability to allow for an independent integrity check of the components and modules from an outside source and is required for all software that may affect the integrity of the system. This must be accomplished by being authenticated by a third-party device, or by allowing for removal of the media such that it can be verified externally. Other methods may be evaluated on a case-by-case basis. This integrity check will provide a means for field verification of the system components and modules to identify and validate the programs or files. The test laboratory, prior to system approval, shall approve the integrity check method.

***NOTE:*** *If the authentication program is contained within the Electronic Raffle System software, the manufacturer must receive written approval from the test laboratory prior to submission.*

# CHAPTER 6

## 6.0 COMMUNICATION REQUIREMENTS

### 6.1 Introduction

**6.1.1 General Statement.** This chapter will discuss the various communication methods including, but not limited to wireless communications protocol commonly known as 802.11(x) and will extend these methodologies to other wireless interfaces such as Bluetooth, infrared (IR), and cellular (i.e. HSPA+, LTE, etc). The requirements of this chapter shall also apply if communications are performed across a public or third party network, as allowed by the regulatory agency.

**6.1.2 Communication Protocol.** Each component of an electronic raffle system must function as indicated by the communication protocol implemented. An electronic raffle system must provide for the following:

- a) Communication between all system components must provide mutual authentication between the component and the server.
- b) All protocols must use communication techniques that have proper error detection and recovery mechanisms, which are designed to prevent eavesdropping and tampering. Any alternative implementations will be reviewed on a case-by-case basis, with regulatory approval; and
- c) All data communications critical to the raffle shall employ encryption. The encryption algorithm shall employ variable keys, or similar methodology to preserve secure communication.

**6.1.3 Connectivity.** Only authorized devices shall be permitted to establish communications between any system components. Electronic raffle systems shall provide a method to:

- a) Verify that the system component is being operated by an authorized user;
- b) Enroll and un-enroll system components;
- c) Enable and disable specific system components.
- d) Ensure that only enrolled and enabled system components participate in the raffle; and
- e) Ensure that the default condition for components shall be un-enrolled and disabled.

**6.1.4 Loss of Communications.** Raffle sales units (RSUs) may continue to sell tickets when not in communication with the system, as allowed by the regulatory body. Sales taking place on the RSU during a loss of communication with the system shall be logged on the device. The RSU shall deactivate upon detecting the limit of its buffer overflow. Upon the re-establishment of communication, the system shall require the RSU to re-authenticate with the server(s). All tickets sold during communication loss shall be transmitted to the system. Loss of communications shall not affect the integrity of critical memory.

## **6.2 System Security**

**6.2.1 General Statement.** All communications, including remote access, must pass through at least one approved application-level firewall and must not have a facility that allows for an alternate network path. Any alternate network path existing for redundancy purposes must also pass through at least one application-level firewall.

**6.2.2 Firewall Audit Logs.** The firewall application must maintain an audit log and must disable all communications and generate a significant event which meets the requirements as specified in section 5.5, Significant Events, of this standard if the audit log becomes full. The audit log shall contain:

- a) All changes to configuration of the firewall;
- b) All successful and unsuccessful connection attempts through the firewall; and
- c) The source and destination IP Addresses, Port Numbers and MAC Addresses.

**NOTE:** A configurable parameter ‘unsuccessful connection attempts’ may be utilized to deny further connection requests should the predefined threshold be exceeded. The system administrator must also be notified.

## 6.3 Remote Access

**6.3.1 General Statement.** Remote access is defined as any access from outside the system or system network including any access from other networks within the same establishment. Remote access shall only be allowed if authorized by the regulatory body and shall have the option to be disabled. Where allowed, remote access shall accept only the remote connections permissible by the firewall application and electronic raffle system settings. Remote access security will be reviewed on a case-by-case basis, in conjunction with the implementation of the current technology and approval from the local regulatory agency. In addition, there shall be:

- a) No unauthorized remote user administration functionality (adding users, changing permissions, etc.);
- b) No unauthorized access to any database other than information retrieval using existing functions; and
- c) No unauthorized access to the operating system.
- d) For systems using an electronic RNG, the electronic raffle system must immediately detect remote access.

**NOTE:** GLI acknowledges that the system manufacturer may, as needed, remotely access the Electronic Raffle System and its associated components for the purpose of product and user support, as permitted.

**6.3.2 Remote Access Auditing.** The electronic raffle system must maintain an activity log which updates automatically depicting all remote access information, to include:

- a) Log on name;
- b) Time and date the connection was made;
- c) Duration of connection; and
- d) Activity while logged in, including the specific areas accessed and changes that were made.

## **6.4 Wide Area Network Communications**

**6.4.1 General Statement.** Wide Area Network (WAN) communications are permitted as allowed by the regulatory body and shall meet the following requirements:

- a) The communications over the WAN are secured from intrusion, interference and eavesdropping via techniques such as use of a Virtual Private Network (VPN), encryption, etc; and
- b) Only functions documented in the communications protocol shall be used over the WAN. The protocol specification shall be provided to the Testing Laboratory.

## **6.5 Wireless Network Communications**

**6.5.1 General Statement.** Should a wireless communication solution be utilized, it is recommended to adhere to the following requirements

- a) Segregation of Networks. Networks used by the electronic raffle systems should be separate and not include other devices that are not part of the electronic raffle system.
- b) Service Set Identifier (SSID). The wireless network name (SSID) used to identify the wireless network should be hidden and not broadcast.
- c) Media Access Control (MAC) Address Filtering. The wireless network should use MAC address filtering as means to validate whether or not a device may connect to the wireless network.

- d) Device Registration. The electronic raffle system should use a device registration method as means to validate whether or not a device is an authorized device on the electronic raffle system.

***NOTE:** Due to continuous changes and improvement in wireless technology the information in this document is considered current as of the publication date. Therefore, it is imperative for organizations to review and update internal control policies and procedures to ensure the electronic raffle system is secure and threats and vulnerabilities are addressed accordingly. GLI recommends the use of a private independent IT security company to plan, inspect and verify the integrity of the wireless network.*