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**CASINO CONTROL ACT
(CHAPTER 33A)**

**CASINO CONTROL (LICENSING OF SPECIAL EMPLOYEES)
REGULATIONS 2009**

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In exercise of the powers conferred by sections 81, 90, 92 and 200 of the Casino Control Act, the Casino Regulatory Authority of Singapore, with the approval of the Minister for Home Affairs, hereby makes the following Regulations:

PART I**PRELIMINARY****Citation and commencement**

1. These Regulations may be cited as the Casino Control (Licensing of Special Employees) Regulations 2009 and shall come into operation on 9th September 2009.

Definitions

2. In these Regulations, unless the context otherwise requires —
- “applicant” means a natural person who is the subject of an application for a special employee licence;
 - “certificate of competence”, in relation to an applicant or a licensee, means a certificate by the employer of that applicant or licensee, certifying the competence of the applicant or licensee to exercise the functions specified in the certificate;
 - “employer”, in relation to an applicant or a licensee, means the person who submits the application for a licence on behalf of the applicant or licensee and in whose employ the applicant or licensee is or is to be;
 - “licence” means a special employee licence;
 - “licensee” has the same meaning as in section 79 of the Act, and includes a person holding a provisional licence granted under section 88 of the Act;
 - “preferred name” means any name by which a licensee prefers to be addressed while performing his functions as a licensee.

Functions unrelated to gaming not special employee functions

3. For the avoidance of doubt, the exercise of any of the following functions for purposes unrelated to the conduct or playing of games shall not constitute the exercise of a function of a special employee:
- (a) the movement of money about the casino premises;
 - (b) the exchange of money with patrons of the casino;
 - (c) the counting of money on the casino premises.

Prohibited persons

4. For the purposes of section 81(3) of the Act, any person —
- (a) below the age of 21 years;

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(b) who is subject to an exclusion order under section 120, 121 or 122 of the Act; or

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(c) who is subject to a family exclusion order, provisional family exclusion order or exclusion order under Part X or excluded under section 165A of the Act,

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shall not be eligible to apply for a licence.

Categories of licences

5.—(1) The categories of licences are as follows:

- (a) Category A;
- (b) Category B;
- (c) Category C1;
- (d) Category C2.

(2) A holder of each category of licence set out in the first column of the First Schedule shall be authorised to perform the functions set out opposite thereto in the second column of that Schedule.

(3) Examples of job descriptions of each category of licence are set out opposite thereto in the third column of the First Schedule.

PART II

APPLICATION FOR SPECIAL EMPLOYEE LICENCE

Application for Category A, Category B or Category C1 licence

6.—(1) An application for a Category A, Category B or Category C1 licence may be made by a casino operator (or a person intending to apply for a casino licence) on behalf of its employee or any person it proposes to employ.

(2) Every application under paragraph (1) shall be submitted using the relevant application form issued by the Authority —

- (a) in such electronic form and by such electronic means as the Authority may provide;

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- (b) if there is a malfunction of the electronic form referred to in sub-paragraph (a), in paper form accompanied by an electronic copy thereof to the office of the Authority; or
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- (c) in such other manner as the Authority may specify in any particular case.

Application for Category C2 licence

7.—(1) An application for a Category C2 licence may be made by a person engaged or to be engaged by a casino operator under a contract for services to perform a function authorised by a Category C2 licence (referred to in this regulation as the employer), on behalf of an employee of the employer or any other individual the employer proposes to employ to carry out that function.

(2) An application under paragraph (1) for a Category C2 licence shall be accompanied by —

- (a) a certificate of competence by the employer certifying that the applicant is competent to exercise the function to be authorised by the Category C2 licence; and
- (b) an endorsement of the application by the casino operator in whose casino premises the applicant is to perform the function authorised by the licence.

(3) Every application under paragraph (1) shall be submitted using the relevant application form issued by the Authority —

- (a) in paper form accompanied by an electronic copy thereof to the office of the Authority; or
- (b) in such other manner as the Authority may specify in any particular case.

General provisions relating to applications

8.—(1) For the purposes of section 81(1)(a) of the Act, the application fee for each category of licence is specified in the Second Schedule.

(2) Any particulars of a change of information to be given under section 83 of the Act or any information or records required by the

Authority under section 84 of the Act in relation to an application under regulation 6 or 7 shall, wherever possible, be submitted in the same manner in which the application was submitted.

(3) The Authority may refuse to consider any application under regulation 6 or 7 if —

- (a) the application is incomplete;
- (b) any person refuses to allow the investigation in respect of the application under section 85 of the Act; or
- (c) the application fee or the deposit for the costs of investigation required under regulation 9(2) is not paid.

Costs of investigation of applications to be borne by employers

9.—(1) The costs of investigation in relation to each application for, or renewal of, a licence shall be borne by the employer making the application.

(2) For the purposes of meeting the full costs of the investigations referred to in paragraph (1), the Authority may by notice in writing —

- (a) require the employer to maintain a deposit with the Authority of such sum as may be specified in the notice; and
- (b) at any time thereafter, require the employer to deposit with the Authority such additional sums as may be specified in the notice.

(3) The Authority shall periodically certify the actual costs of the investigations referred to in paragraph (1).

(4) When the employer intends to make no further applications for a licence or renewal thereof, the Authority shall refund the remaining sum of the deposit under paragraph (2) without interest to the employer.

Competency requirements

10.—(1) Notwithstanding the grant of any licence, a licensee must not exercise any function authorised by the licence unless he has been

issued a certificate of competence by his employer in relation to that function.

(2) An employer shall not issue a certificate of competence certifying that any person is competent to exercise any function of a special employee unless the employer has taken the necessary steps to ensure that the person —

- (a) has attained such level of competence, knowledge and skill as the function may require; and
- (b) in the case of a licensee or an applicant employed or to be employed by a casino operator —
 - (i) is able to perform the function in accordance with the standard operating procedures and system of internal controls of the casino operator; and
 - (ii) is able to conduct or supervise gaming in accordance with the approved game rules, where necessary.

(3) Where the application is for a Category A or Category B licence, the casino operator, before issuing a certificate of competence, shall in addition, ensure that the applicant —

- (a) has the appropriate business ability or managerial ability to carry out his function; and
- (b) has the requisite qualifications, experience and certifications, where necessary, to carry out his function.

(4) An employer shall withdraw a certificate of competence for any employee in relation to any function if the employer is of the opinion that the employee is no longer competent to perform that function.

PART III

SPECIAL EMPLOYEE LICENCE

Duration of licence, etc.

11.—(1) Subject to paragraph (2), each licence shall be valid for 3 years or such shorter period as the Authority may specify in the licence.

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- (2) A licence ceases to be valid when —
- (a) the licensee ceases to be employed by his employer; or
 - (b) in the case of a Category C2 licence, the employer no longer has any contract for services with any casino operator.
- (3) A licence shall not be transferable.

Functions authorised by licence

- 12.** Subject to the competency requirements under regulation 10 —
- (a) the holder of a Category A, Category B or Category C1 licence is authorised to perform any of the functions authorised by the category of his licence only in or in relation to the casino specified in his licence; and
 - (b) the holder of a Category C2 licence is authorised to perform only the function authorised by his licence in or in relation to the casino or casinos specified in his licence.

Identification passes and entry passes

13.—(1) For the purposes of section 87 of the Act, a casino operator shall issue an identification pass of a type approved by the Authority to every holder of a Category A, Category B or Category C1 licence who performs any function of a special employee on its casino premises.

- (2) An identification pass under paragraph (1) shall contain —
- (a) the preferred name of the licensee;
 - (b) an identification number issued by the Authority to a licensee;
 - (c) a recent colour photograph of the licensee according to such specifications as to standard, quality, dimension or any other matter as may be determined by the Authority;
 - (d) information which identifies the department of the casino operator to which the licensee belongs; and

(e) such other information as may be determined by the Authority.

(3) A casino operator shall issue to every holder of a Category C2 licence who enters its casino premises for the purpose of performing his function as a licensee, an entry pass of a type approved by the Authority which shall clearly identify him as a Category C2 licensee.

(4) A casino operator which fails to comply with this regulation shall be liable to disciplinary action under section 54 of the Act.

PART IV

DUTIES OF EMPLOYERS

Directions to casino operator to provide information, etc.

14. Without prejudice to section 97 of the Act, the Authority may, by directions given under section 57 of the Act, require a casino operator to notify the Authority of matters relating to the licensees in its employ or to provide such information relevant to the licensees as the Authority may specify.

No assignment to employee unless he holds valid Category C2 licence

15.—(1) No person shall assign any of his employees to perform any function of a Category C2 special employee within any casino premises unless that employee holds a valid Category C2 licence to perform that function within those casino premises.

(2) Any person who contravenes paragraph (1) shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$10,000 or to imprisonment for a term not exceeding 12 months or to both.

Duties of employer in relation to Category C2 licensee

16.—(1) Every employer of a Category C2 licensee shall comply with the following duties:

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- (a) submit to the Authority in writing —
- (i) a notification of any of the matters set out in the Third Schedule occurring in relation to any licensee in its employ, as soon as practicable and, in any event, no later than 14 days after becoming aware of such matter;
 - (ii) a notification that any licensee in its employ has ceased to have any function in or in relation to any casino, or ceased to be in its employ, and the reasons therefor, not later than 7 days after such cessation (or within such longer period as the Authority may allow, in any particular case); and
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 - (iii) a list of the licensees in its employ in a form approved by the Authority, at least once a year on a date specified by the Authority;
- (b) maintain records of each assignment of licensees in its employ to a casino, comprising details of each licensee assigned, the purpose and period of the assignment, the premises to which the licensee was assigned, the assigning officer and such other details as the Authority may specify from time to time; and
- (c) when requested by the Authority to do so —
- (i) provide to the Authority such information relevant to the licensees in its employ as the Authority may specify; and
 - (ii) produce such records relevant to the licensees in its employ as the Authority may specify and permit the Authority to examine the records, take extracts from them and make copies of them.
- (2) Any employer which contravenes paragraph (1) shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$10,000 or to imprisonment for a term not exceeding 12 months or to both.

Duties of casino operator in relation to Category C2 licensee

17. A casino operator shall not allow a person who is not its employee to perform any function of a Category C2 licensee within its casino premises under a contract for services, unless —

- (a) the person holds a valid Category C2 licence to perform that function; and
- (b) the casino operator —
 - (i) had endorsed the application for that licence; or
 - (ii) if the contract for services was entered into after the application for the licence was made, has written to the Authority to endorse that licence.

PART V**CHANGES TO, RENEWAL AND REPLACEMENT OF SPECIAL EMPLOYEE LICENCE****Change to functions or assignment of new function**

18.—(1) A casino operator which intends to make any change to the functions of, or assign a new function to, a licensee, shall —

- (a) where the new function to be assigned is not among the authorised functions of the category of licence held by that licensee, apply for a new licence on behalf of its employee to replace the current licence;
- (b) where the new function to be assigned is an authorised function of the category of licence held by that licensee, notify the Authority of the assignment by submitting a notice of the change in accordance with paragraph (2); and
- (c) where the change to the functions of the licensee does not involve any assignment of a new function to the licensee, notify the Authority in writing within 7 days after the change.

(2) A notice of the change referred to in paragraph (1)(b) shall describe the details of the new function and shall be submitted in such form and manner as the Authority may specify —

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- (a) within 7 days after the licensee starts exercising the new function, if there has been previously submitted to the Authority a certificate of competence for the licensee in relation to that function, and the casino operator is satisfied that the certificate is still valid; or
- (b) at least 7 days before the licensee starts exercising the new function, accompanied by a certificate of competence for the licensee to exercise the new function.
- (3) The Authority may require the casino operator to provide such other information or produce such other records relating to the assignment of the new function as the Authority may specify and may, after considering the matter —
- (a) accept the notice of the change; or
- (b) reject the notice of the change and require the casino operator to submit an application for a new licence on behalf of its employee.
- (4) A casino operator which fails to comply with paragraph (1) shall be liable to disciplinary action under section 54 of the Act.

Renewal of licence

19.—(1) The provisions in Part II shall apply, with the necessary modifications and subject to this regulation, to an application for renewal of a licence.

(2) An application for renewal of a licence shall be submitted to the Authority not later than 3 months before the date of expiry of the licence and shall be accompanied by the relevant renewal fee specified in the Second Schedule.

(3) If an application to renew a licence is submitted to the Authority less than 3 months before the date of expiry of the licence, the application shall, in addition to the renewal fee, be accompanied by the relevant late application fee specified in the Second Schedule.

(4) A new certificate of competence is not required to be submitted in relation to an application for renewal of a licence unless —

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- (a) the certificate of competence previously issued has been withdrawn by the employer; or
 - (b) the licensee proposes to perform a new function for which no certificate of competence has previously been submitted.

(5) If a requirement under this regulation is not complied with, the Authority may refuse to consider the application.

[S 53/2013 wef 31/01/2013]

Replacement of licence

20. For the purposes of section 92 of the Act, the fee for replacement of a licence is specified in the Second Schedule.

PART VI

GENERAL

No refund of fees or costs of investigation

21. Except where expressly provided in these Regulations, all fees and costs of investigation shall be payable in advance and shall not be refundable, even if the application for the licence is unsuccessful or withdrawn.

Production of licence or identification pass to inspector

22.—(1) Any inspector may stop a person who is, or who reasonably appears to the inspector to be, exercising any function of a special employee from exercising that function, if —

- (a) on demand of the inspector, the person fails to produce a valid licence or identification pass or, in the absence of such documents, is unable to produce evidence that he is a licensee; or
- (b) the inspector reasonably suspects that the person is exercising a function that is not authorised by his licence.

(2) Any person who fails to comply with a direction of an inspector to stop exercising the function of a special employee under paragraph (1) shall be guilty of an offence and shall be liable on

conviction to a fine not exceeding \$10,000 or to imprisonment for a term not exceeding 12 months or to both.

FIRST SCHEDULE

Regulation 5(2) and (3)

CATEGORIES OF SPECIAL EMPLOYEE LICENCES

<i>First column</i> <i>Category</i>	<i>Second column</i> <i>Authorised function</i>	<i>Third column</i> <i>Examples of job descriptions</i>
Category A	Any of the following functions: <ul style="list-style-type: none"> (a) the function of senior management or other executive function of a casino operator; (b) the functions in paragraph (a) of the definition of “special employee” in section 2 of the Act performed by a person with overall responsibility for that function; (c) a function with significant influence over or with respect to operations in a casino; (d) any function authorised by a Category B or Category C1 licence. 	Chief Executive Officer, Chief Financial Officer, General Counsel, Chief Technology Officer, Vice-President or Director of Casino Operations, Vice-President or Director of Table Games.
Category B	Any of the following functions: <ul style="list-style-type: none"> (a) middle management of a casino operator; (b) a managerial function in a casino; (c) making operational decisions, involving the exercise of discretion, that regulate the operations of a casino; (d) any function authorised by a Category C1 licence. 	Pit manager, slot manager, cage manager, audit manager, international marketing manager.

FIRST SCHEDULE — *continued*

Category C1	Any of the functions set out in paragraph (b)(i) to (vii) of the definition of “special employee” in section 2 of the Act or specified by notice in writing under paragraph (b)(viii) of that definition.	Dealer, cage cashier, slot attendant, casino account officer, surveillance officer, table games supervisor.
Category C2	Any of the following functions: (a) technical support services relating to the maintenance, rectification or repair of gaming equipment in any casino premises; (b) technical support services relating to the maintenance, rectification or repair of surveillance installations, devices or equipment in any casino premises.	Slot technician, technical support personnel for surveillance equipment, slot management systems or electronic monitoring systems.

SECOND SCHEDULE

Regulations 8(1), 19(2) and (3) and 20

FEES

1. For an application for —
 - (a) a Category A licence \$400
 - (b) a Category B licence \$320
 - (c) a Category C1 licence \$270
 - (d) a Category C2 licence \$270
2. For an application for renewal of —
 - (a) a Category A licence \$350
 - (b) a Category B licence \$300
 - (c) a Category C1 licence \$240
 - (d) a Category C2 licence \$240
3. For a late application to renew —
 - (a) a Category A licence \$50

 SECOND SCHEDULE — *continued*

(b) a Category B licence	\$20
(c) a Category C1 licence	\$30
(d) a Category C2 licence	\$30
4. For a replacement of a licence	\$10.

[S 465/2011 wef 01/09/2011]

Note:

Items 1, 2 and 3 may be subject to such goods and services tax as is payable under the Goods and Services Tax Act (Cap. 117A).

THIRD SCHEDULE

Regulation 16(1)(a)(i)

MATTERS OF WHICH EMPLOYER MUST NOTIFY AUTHORITY

1. Any change in the full name, preferred name or address of a licensee.
2. Details of any arrest of or charge against a licensee by any regulatory body or law enforcement agency exercising their statutory functions in any jurisdiction (other than in respect of a traffic offence).
3. Details of any investigation conducted or to be conducted on the affairs of a licensee by any regulatory body or law enforcement agency exercising their statutory functions in any jurisdiction (other than in respect of a traffic offence).
- 3A. Details of any investigation in which a licensee is involved as a witness, conducted or to be conducted on any person (other than the licensee) by any regulatory body or law enforcement agency exercising their statutory functions in any jurisdiction (other than in respect of a traffic offence).
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4. Any internal investigation contemplated against a licensee by the employer and the outcome thereof, including any disciplinary action taken or to be taken.
[S 53/2013 wef 31/01/2013]
- 4A. Any suspension or cessation of a licensee's functions by the employer in connection with an investigation referred to in paragraph 3 or 4.
[S 53/2013 wef 31/01/2013]
5. Details of any legal proceedings by or against a licensee or to which he is joined as a party, in his capacity as an individual or as an owner, a director or an officer of a corporation, whether as a plaintiff or a defendant.

THIRD SCHEDULE — *continued*

6. Details of any alternative dispute resolution proceedings by or against a licensee or to which he is joined as a party, in his capacity as an individual or as an owner, a director or an officer of a corporation, whether as a claimant or a defendant.
7. The commencement of winding-up or liquidation proceedings, the appointment of a receiver, judicial manager or other controller or administrator, or the entry into a formal or an informal scheme of arrangement in respect of any corporation in which a licensee has a direct or indirect interest.
8. Any disciplinary action taken against a licensee by any regulator, other than the Authority, in any jurisdiction.
9. Any revocation or withdrawal of any requisite regulatory approval under any other written law necessary for a licensee to perform his function as a special employee.
10. Any of the following events relating to the bankruptcy or possible bankruptcy of a licensee in any jurisdiction:
 - (a) a bankruptcy application filed against a licensee under the bankruptcy laws of any jurisdiction;
 - (b) an application by a licensee to take the benefit of any law relating to bankrupt or insolvent debtors;
 - (c) the entry into an arrangement for composition by a licensee with his creditors or an assignment of his remuneration for their benefit;
 - (d) any adjudication of bankruptcy against a licensee in any jurisdiction.

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Made this 2nd day of September 2009.

RICHARD MAGNUS
Chairman,
Casino Regulatory Authority of
Singapore.

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