

Alcohol and Gaming
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AGCO

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Internet Gaming Notification Matrix

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About this document

This document is maintained by the Technology Regulation and igaming Compliance Branch, Operations Division

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1.0	27-Oct-2021	■ Initial Release

Purpose of this document

The purpose of this document is to outline the internet gaming information (i.e. incident notifications and regulatory submissions) that all registered gaming-related suppliers (GRSs) and internet gaming operators are required to provide to the Alcohol and Gaming Commission of Ontario (AGCO) and the frequency and format with which that information must be provided

These notification requirements do not supersede the Gaming Control Act, 1992, applicable Regulations, the Registrar's Standards for Internet Gaming, Terms of Registration, or any other AGCO requirements.

The minimum notification obligations listed herein are intended to complement ongoing, open, and transparent communication between the Operators, GRSs, and the AGCO. Consistent with the AGCO's standards-based approach to regulation, this document aims to outline the broad categories of information that is required to be provided to the AGCO instead of an exhaustive prescriptive list of notification scenarios. Registrants must use sound judgment and discretion to determine circumstances requiring notification.

For ease of reference, the minimum notification obligations outlined within this document are organized into two distinct categories:

Incident Notifications: notifications generated due to a relevant event or incident of regulatory interest.

Regulatory Submissions: periodic data submissions or reports that are required for regulatory purposes.

Definitions

For the purposes of this Notification Matrix, the following are defined as:

Category: Type of situation which requires an incident notification or regulatory submission.

Description: Detailed description of the incident notification and/or regulatory submission requirements.

Gaming-Related Supplier (GRS): A person who manufactures, provides, installs, tests, maintains or repairs gaming equipment or who provides consulting or similar services directly related to the playing of a lottery scheme or the operation of a gaming site.

Incident Notification: An event that may be a regulatory compliance concern.

ITL: Independent Test Laboratory registered with the AGCO to certify All igaming games, random number generators and components of igaming systems that accept, process, determine outcome, and log details about player bets for use in Ontario

Mode of Contact: the medium for communicating the incident notification and/or regulatory submission to the AGCO.

iAGCO: The web-based service delivery application used by operators and GRSs for all manual notification submissions (e.g. immediate incident notifications and manual report submissions).

AGCO SFTP Data Exchange (igaming): AGCO Secure File Transfer Protocol (SFTP) server used for delivery of regulatory data received with periodic cadence (e.g. monthly data reports) which can include resultant action and follow up to incident notifications submitted in iAGCO.

Notice Timeframe: The required timeframe for submitting incident notifications and/or regulatory submissions to the AGCO.

Immediate: Submission must be made as soon as the situation is identified.

24 Hours: Within 24 hours of the situation being identified.

5 Business Days: Within 5 business days of the situation being identified.

Prior to Implementation: Within a reasonable timeframe relative to the scope and nature of the notification being submitted to provide the AGCO reasonable time to review the details of the notification in advance of implementation.

Operator: A person who operates a gaming site.

Ref #: Unique reference number when referring to the type of incident notification or regulatory submission item.

Reference: The Standard, section of the Gaming Control Act, 1992, Term of Registration, or other AGCO requirement for which the incident notification or regulatory submission is based.

Regulatory Submission: Products, information, documentation, or data required by the Registrar

Contact TRCB: Contact the AGCO Technology Regulation & igaming Compliance Branch at igamingCompliance@agco.ca with questions or inquiries related to the internet gaming notification matrix.

Incident Notifications

REF #	CATEGORY	APPLIES TO	REFERENCE	DESCRIPTION	NOTICE TIMEFRAME	MODE OF CONTACT
I1	Gaming Systems and Supplies, Integrity or Security	Operator – Internet Gaming Gaming-Related Suppliers (GRS) – Other GRS – Manufacturers iGaming Ontario (iGO) (optional)	Registrar’s Standards for Internet Gaming: Standard 1.13, Requirement 1 Standard 4.09, Requirement 2	Problems with the integrity or security of the gaming system, gaming supplies, and/or sensitive data that involve: <ul style="list-style-type: none"> Any gaming system fault which has resulted in under or overpayments to a player. Data breach of personal information Security issues impacting game integrity Note: Notification should only be provided for problems that pertain to integrity or security of gaming systems, gaming supplies, and/or sensitive data where a standard is violated.	Immediate	iAGCO
I2A	Suspicious Behaviour, Cheating at Play, and Unlawful Activity	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO (optional)	Registrar’s Standards for Internet Gaming: Standard 4.19, Requirement 4 Standard 4.33, Standard 6.01, Requirement 4	Any gaming or non-gaming related suspicious behaviour, cheating at play and/or unlawful activities, excluding money laundering. Including but not limited to: <ul style="list-style-type: none"> Any incident of intentional cheating Any incident of theft: (e.g. use of stolen cards, identify theft, unauthorized access to funds, abuse of bonusing, etc.) Any incident where an independent integrity monitor or operator identifies suspicious betting activity Any other incident of unlawful activities (excluding money laundering) 	Immediate	iAGCO
I2B	Money Laundering	Operator – Internet Gaming iGO	Registrar’s Standards for Internet Gaming: Standard 6.01, Requirement 4	Any gaming or non-gaming related suspicious behaviour and/or unlawful activities, related to the laundering of money.	Immediate	iAGCO
			Registrar’s Standards for Internet Gaming: Standard 6.02, Requirement 1	Notifications by iGO of Suspicious Transaction Reports filed with FINTRAC by all internet gaming operators and iGO in the preceding month (monthly batch notification).	Monthly	AGCO SharePoint File Exchange (igaming)
I3	Incident Reports – Failures in Player Eligibility Control Mechanisms	Operator – Internet Gaming iGO (optional)	Registrar’s Standards for Internet Gaming: Standard 2.14	Any incident where player eligibility control mechanisms fail including but not limited to: <ul style="list-style-type: none"> Failures of self-exclusion control mechanisms Failures of other KYC (Know Your Customer) control mechanisms 	Immediate	iAGCO

Incident Notifications

REF #	CATEGORY	APPLIES TO	REFERENCE	DESCRIPTION	NOTICE TIMEFRAME	MODE OF CONTACT
14	Incident Reports – Non Compliance	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO (optional)	Registrar’s Standards for Internet Gaming: Standard 1.13, Requirement 2	A summary of all incidents of non-compliance with the law (within Ontario), including the Registrar’s Standards for Internet Gaming, including any actions taken to correct the cause of non-compliance.	Monthly	iAGCO
15	Incident in Other Jurisdiction	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO (optional)	Terms of Registration	Regulatory, criminal, or other disciplinary action, taken in other jurisdictions. Includes matters with respect to corporate officers and directors. Also includes ongoing investigations.	5 Business days	iAGCO
16	Emergencies and/or site shut down	Operator – Internet Gaming iGO (optional)	Registrar’s Standards for Internet Gaming: Standard 1.13, Requirement 1	Any incident that results in an unplanned closure of an iGaming site for any reason.	Immediate	iAGCO
17	Use of Administrator Accounts	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO (optional)	Registrar’s Standards for Internet Gaming: Standard 5.48	Inappropriate use of administrator accounts.	Monthly	iAGCO
18	Non-Compliant Bet Offering	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO (optional)	Registrar’s Standards for Internet Gaming: Standard 4.34	Offered sports or event bet is non-compliant.	Immediate	iAGCO

Regulatory Submissions

REF #	CATEGORY	APPLIES TO	REFERENCE	DESCRIPTION	NOTICE TIMEFRAME	MODE OF CONTACT
S1	Operator Control Activities	Operator – Internet Gaming	Registrar’s Standards for Internet Gaming: Standard 1.02	Formal Control Activity Matrix (CAM) outlining control activities and substantial changes to the control environment.	Prior to Implementation of changes (The initial independently audited CAM will be submitted per “Internet Gaming Operator Application Guide” timelines)	iAGCO
S2A	Reports and Meeting Minutes	Operator – Internet Gaming GRS – Other GRS – Manufacturers	Registrar’s Standards for Internet Gaming: Standard 1.10 Standard 1.13 Requirement 3	Internal audit reports	Quarterly	iAGCO
S2B				External reports – Reports from external auditors and/or consultants on internal control assessments, due diligence, and other regulatory compliance reviews.	30 days after issuance	
S2C				Financial Statements – Audited financial statements and auditor’s report.	90 days after year end	
S2D				Meeting minutes – minutes from all Board of Directors meetings, audit committee meetings, and compliance committee meetings.	Quarterly	
S3	Results of FINTRAC Audit	Operator – Internet Gaming	Registrar’s Standards for Internet Gaming: Standard 6.02 Requirement 1	Results of FINTRAC audit	The month following receipt of the audit report	iAGCO
S4A	Officers, Directors and Partners	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO	Registrar’s Standards for Internet Gaming: Standard 1.01, Requirement 1 Terms of Registration <i>Gaming Control Act, 1992: s. 4 (3).</i>	Criminal charges, convictions or civil actions related to the integrity of individual.	5 Business Days	iAGCO iAGCO Amendment job (Corporate Structure)
S4B				Any change in the officers or directors of the corporation or any change in the membership of the partnership.	5 Business Days Registrar Approval Required	
S5	Lists of Suppliers	Operator – Internet Gaming	Registrar’s Standards for Internet Gaming: Standard 1.20	An up-to-date list of suppliers that will support the operation of gaming site(s) in Ontario. This may include suppliers within the entity’s corporate structure as well as third party suppliers.	Quarterly	iAGCO

REF #	CATEGORY	APPLIES TO	REFERENCE	DESCRIPTION	NOTICE TIMEFRAME	MODE OF CONTACT
S6	Annual Statement of Assurance	Operator – Internet Gaming	Internet Gaming Compliance Guide (coming soon) Registrar’s Standards for Internet Gaming: Standard 1.13, Requirement 3	A form of self-assessment whereby the Registrant assesses and confirms their compliance with the Registrar’s Standards for internet gaming, focusing on areas of particular interest as identified by the AGCO, and identifies continuous improvement priorities and actions.	Annually	iAGCO
S7	Certification Updates	GRS – Other (Specifically only ITLs)	Registrar’s Standards for Internet Gaming: Standard 4.08 Standard 4.09, Requirement 1	ITLs shall provide to the AGCO, or make available, a report that contains: 1. a listing of all certifications issued against AGCO Registrar’s Standards for Internet Gaming during the last reporting period 2. a listing of all certifications suspended or rescinded during the last reporting period, including information about the offending issue(s) 3. a complete listing of all active certifications issued against AGCO Registrar’s Standards for Internet Gaming at the time of the report	Monthly	AGCO SFTP Data Exchange (igaming)
S8	Regulatory Data	Operator – Internet Gaming GRS – Other GRS – Manufacturers iGO	Registrar’s Standards for Internet Gaming: Standard 1.13 Standard 1.15 Standard 4.32, Requirement 8	Regulatory data that will be received with a periodic cadence (e.g. monthly, quarterly) as specified by the “AGCO Data and Reporting Templates (igaming)”	Per “AGCO Data and Reporting Templates (igaming)” documentation (coming soon)	AGCO SFTP Data Exchange (igaming)