

SCHEDULE OF MONETARY PENALTIES: *GAMING CONTROL ACT, 1992* AND REGULATION 78/12

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

Gaming Control Act, 1992

SECTION	PROVISION	Registration Class	Maximum Penalty
2(1)	No person authorized to sell lottery tickets , and no person acting on their behalf, shall sell to an individual under 18 years.	Operator Seller Category 1 gaming assistant	Up to \$100,000 Up to \$15,000 Up to \$15,000
2(4)	No person shall permit an individual under 19 years to play a lottery scheme in a gaming site.	Operator Category 1 gaming assistant Category 2 gaming assistant	Up to \$100,000 Up to \$15,000 Up to \$15,000
3.8(3)	Registrants shall comply with standards and requirements that the Registrar establishes under ss. (1).	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union Category 1 gaming assistant Category 2 gaming assistant	Up to \$200,000 Up to \$10,000 Up to \$100,000 Up to \$100,000 Up to \$100,000 Up to \$10,000 Up to \$10,000
3.9(1)	If OLG conducts and manages a lottery scheme, it shall ensure that the lottery scheme, the gaming site for the lottery scheme and businesses related to the gaming site or lottery scheme are conducted, managed and operated in accordance with, <ul style="list-style-type: none"> a) the rules of play prescribed by the regulations; b) the rules of play approved in writing by the Board for lottery schemes, if none have been prescribed by the regulations; and c) the standards and requirements prescribed by the regulations or established by the Registrar under section 3.8. 	OLG	Up to \$200,000

SECTION	PROVISION	Registration Class	Maximum Penalty
3.9(2)	If OLG conducts and manages a lottery scheme, every employee or person retained by them for purposes of conducting and managing the lottery scheme shall comply with standards and requirements prescribed by the regulations or established by the Registrar under section 3.8.	Operator Category 1 gaming assistant Category 2 gaming assistant Gaming-related supplier	Up to \$100,000 Up to \$10,000 Up to \$10,000 Up to \$50,000
4(4)	No registered supplier shall provide goods or services under a name other than the name under which the supplier is registered.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade Union	Up to \$10,000 Up to \$1,000 Up to \$5,000 Up to \$5,000 Up to \$5,000
4(5)	No registered supplier shall provide a gaming site except at premises or on a channel that is named in the supplier's registration.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade Union	Up to \$200,000 Up to \$10,000 Up to \$100,000 Up to \$100,000 Up to \$100,000
19(1)	No registered supplier or registered gaming assistant shall provide goods or services related to the conduct, management or operation of a gaming site, a lottery scheme or a business related to a gaming site or a lottery scheme, other than those goods or services prescribed by regulation.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union Category 1 gaming assistant Category 2 gaming assistant	Up to \$200,000 Up to \$10,000 Up to \$100,000 Up to \$100,000 Up to \$100,000 Up to \$10,000 Up to \$10,000
19(2)	A registered supplier or registered gaming assistant who provides goods or services in relation to a gaming site, a lottery scheme or a business related to a gaming site or a lottery scheme shall ensure that the goods or services do not contravene the standards and requirements prescribed by regulation or established by the Registrar under section 3.8 or the terms of the licence for a lottery scheme.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union Category 1 gaming assistant Category 2 gaming assistant	Up to \$200,000 Up to \$10,000 Up to \$100,000 Up to \$100,000 Up to \$100,000 Up to \$10,000 Up to \$10,000

SECTION	PROVISION	Registration Class	Maximum Penalty
20(1)	No registered supplier shall provide or offer to provide any goods or services in relation to a lottery scheme on payment or acceptance of a fee or other consideration that exceeds the amount prescribed by the regulations or permitted by the licence for the lottery scheme.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union	Up to \$10,000 + 10 times the amount exceeded Up to \$1,000 + 10 times the amount exceeded Up to \$5,000 + 10 times the amount exceeded Up to \$5,000 + 10 times the amount exceeded Up to \$5,000 + 10 times the amount exceeded
20(2)	If two or more licensees conduct a gaming event in concert with one another, no registered supplier shall charge more for the goods or services they provide in relation to the event than the fee or other consideration prescribed by regulations for a single gaming event.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union	Up to \$10,000 + 10 times the amount exceeded Up to \$1,000 + 10 times the amount exceeded Up to \$5,000 + 10 times the amount exceeded Up to \$5,000 + 10 times the amount exceeded Up to \$5,000 + 10 times the amount exceeded
21(1)	A registered supplier who provides a gaming site shall manage the site directly or ensure the site is managed by a registered gaming assistant of the supplier.	Operator	Up to \$100,000
21(2)	A registered supplier who provides a gaming site shall ensure the site is operated in accordance with the Act, the regulations, the standards and requirements established by the Registrar under section 3.8 and the terms of the supplier's registration and the licences for gaming events held at the site.	Operator	Up to \$200,000

SECTION	PROVISION	Registration Class	Maximum Penalty
21(3)	A registered gaming assistant who is managing a gaming site shall ensure that the site is operated in accordance with the Act, the regulations, the standards and requirements established by the Registrar under section 3.8, the terms of the registration of the supplier of the site and the terms of the gaming assistant's registration and the licences for gaming events held at the site.	Category 1 gaming assistant	Up to \$10,000
22(1)	No registered supplier who provides a gaming site , other than a gaming site maintained for playing a lottery scheme conducted and managed by the OLG, and no registered gaming assistant who provides services to the registered supplier shall permit the playing of a lottery scheme on the site except in accordance with the rules of play and other standards and requirements that are prescribed by the regulations or established by the Registrar under section 3.8.	Operator Category 1 gaming assistant Category 2 gaming assistant	Up to \$200,000 Up to \$10,000 Up to \$10,000
22(2)	No registered supplier who provides services related to the operation of a gaming site maintained for playing a lottery scheme conducted and managed by the OLG and no registered gaming assistant who provides services to the OLG or a registered supplier shall permit the playing of a lottery scheme on the site except in accordance with, <ul style="list-style-type: none"> a) the rules of play prescribed by the regulations b) the rules of play approved in writing by the Board for lottery schemes, if none have been prescribed by the regulations; and c) the other standards and requirements prescribed by the regulations or established by the Registrar under section 3.8. 	Gaming-related supplier Non-gaming-related supplier Category 1 gaming assistant Category 2 gaming assistant	Up to \$100,000 Up to \$100,000 Up to \$10,000 Up to \$10,000
22.1	No registered supplier who provides services related to the operation of a lottery scheme conducted and managed by the OLG and no registered gaming assistant who provides services to the registered supplier shall handle money or money equivalents received from players of the lottery scheme except in accordance with the rules prescribed by the regulations or approved by the Board under section 3.7 and the standards and requirements prescribed by the regulations or established by the Registrar under section 3.8.	Gaming-related supplier Non-gaming-related supplier Category 1 gaming assistant Category 2 gaming assistant	Up to \$100,000 Up to \$100,000 Up to \$10,000 Up to \$10,000

SECTION	PROVISION	Registration Class	Maximum Penalty
23	No registered supplier or registered gaming assistant shall induce or cause or attempt to induce or cause any breach of the terms of a licence.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union Category 1 gaming assistant Category 2 gaming assistant	Up to \$20,000 Up to \$5,000 Up to \$10,000 Up to \$10,000 Up to \$10,000 Up to \$5,000 Up to \$5,000
24	No registered supplier or registered gaming assistant shall induce or attempt to induce any party to a contract for gaming services to break the contract for the purpose of entering into another contract for gaming services.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union Category 1 gaming assistant Category 2 gaming assistant	Up to \$20,000 Up to \$5,000 Up to \$10,000 Up to \$10,000 Up to \$10,000 Up to \$5,000 Up to \$5,000
25	Subject to the regulations, a registered supplier or registered gaming assistant shall, while performing duties, carry an identification card that the Registrar has issued to the person under this Act and shall produce it for inspection upon request.	Category 1 gaming assistant Category 2 gaming assistant	Up to \$500 Up to \$500
26(1)	Every registered supplier shall keep the records that are prescribed by the regulations or required by the standards and requirements established by the Registrar under section 3.8 with respect to each gaming site named in the supplier's registration and with respect to each gaming event for which the supplier provides goods or services.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union	Up to \$200,000 Up to \$10,000 Up to \$100,000 Up to \$100,000 Up to \$100,000
26(2)	Every registered supplier shall keep financial records in the form and containing the information that is prescribed by the regulations or required by the standards and requirements established by the Registrar under section 3.8.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union	Up to \$200,000 Up to \$10,000 Up to \$50,000 Up to \$50,000 Up to \$50,000

SECTION	PROVISION	Registration Class	Maximum Penalty
26(3)	Every registered supplier shall keep the records required under this Act in Ontario at the business premises identified in the supplier's application for registration.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade union	Up to \$10,000 Up to \$1,000 Up to \$5,000 Up to \$5,000 Up to \$5,000

Regulation 78/12

SECTION	PROVISION	Registration Class	Maximum Penalty
12(8)	A person who is exempt from registration under subsection (1) shall comply with section 20 as if the person were registered as a non-gaming-related supplier.	Exempt non-gaming-related supplier	¹ see section 20 for the infraction
13(2)	A person who is exempt from registration under subsection (1) shall comply with section 20 as if the person were registered as a gaming assistant.	Exempt gaming assistant	² see section 20 for the infraction
14	OLG shall comply with section 20 as if it were a supplier registered as an operator.	OLG	³ see section 20 for the infraction
19(1)	Every registered supplier shall keep in an approved place or display the certificate of registration.	Operator Seller Gaming-related supplier Non-gaming-related supplier Trade Union	Up to \$10,000 Up to \$1,000 Up to \$5,000 Up to \$5,000 Up to \$5,000
19(2)	Every registered gaming assistant shall carry certificate of registration when carrying out duties.	Category 1 gaming assistant Category 2 gaming assistant	Up to \$500 Up to \$500
20(1)	Every registered supplier is responsible for the conduct of every person employed by the supplier.	Operator/OLG Seller Gaming-related supplier Non-gaming-related supplier Trade Union Exempt non-gaming-related supplier	Up to \$20,000 Up to \$5,000 Up to \$10,000 Up to \$10,000 Up to \$10,000 Up to \$10,000

SECTION	PROVISION	Registration Class	Maximum Penalty
20(2)	Every registered supplier shall ensure that every employee has the registration required to perform the functions assigned to or carried out by the employee.	Operator/OLG Seller Gaming-related supplier Non-gaming-related supplier Trade Union Exempt non-gaming-related supplier	Up to \$20,000 Up to \$5,000 Up to \$10,000 Up to \$10,000 Up to \$10,000 Up to \$10,000
20(3)	Every supplier registered as an operator, seller, gaming-related supplier or non-gaming related supplier shall ensure employees not required to be registered as gaming assistants, complete and file a return.	Operator/OLG Seller Gaming-related supplier Non-gaming-related supplier Exempt non-gaming-related supplier	Up to \$5,000 Up to \$2,500 Up to \$2,500 Up to \$2,500 Up to \$2,500
20(4)	A supplier registered as an operator shall not contract with or employ a person to do anything the person is not authorized to do.	Operator/OLG	Up to \$100,000
22(1)	A seller shall not sell a lottery ticket to: 1. individuals who appear to be intoxicated; 2. officers, directors or partners of the seller; 3. registered gaming assistants of the seller employed at the gaming site where seller sells lottery tickets; 4. Executives or staff of a trade union who represent or negotiate on behalf of employees employed at the gaming site where the seller sells lottery tickets; 5. Employees of registered suppliers who maintain or repair gaming equipment at the gaming site where the seller sells lottery tickets; 6. Members or employees of the AGCO.	Seller	Up to \$2,000

SECTION	PROVISION	Registration Class	Maximum Penalty
22(5)	<p>An operator of a gaming site and, if the OLG operates a gaming site, the OLG shall not permit the following individuals to play a lottery scheme in the site:</p> <ol style="list-style-type: none"> 1. Individuals who appear to be intoxicated if the site is physical premises. 2. An individual who the operator or the OLG has reason to believe has been excluded from the site under subsection 3.6(1) of the Act. 3. Every individual who advises the operator or the OLG that the individual is participating in a self-exclusion process established by the OLG that applies to the site. 4. Officers, directors or partners of the operator. 5. Registered gaming assistants of an operator or the OLG employed at any gaming site operated by the operator or the OLG 6. Executives or staff of a trade union who represent or negotiate on behalf of employees employed at the site. 7. Employees of registered suppliers who maintain or repair gaming equipment at the site. 8. Members or employees of the Commission. 9. Officers, directors or employees of the OLG. 	Operator/OLG	Up to \$100,000