

# Administrative Sanction Guideline for Violations

*This table is a guideline for sanctions being imposed by the Regulatory Services Division*

## Notes:

1. Pursuant to s.38(1), 61(1), 67(1), 90.07(1) of the GLCA and s.17(1) of the GLCR, the Board’s policies respecting the activities authorized by a licence or registration are conditions of the licence or registration.
2. Where no administrative sanction is listed the incident will be referred to the Board to request a hearing.
3. Where there are multiple charges on one incident report and one or more of the charges do not have an administrative sanction available, the entire incident is referred to the Board to request a hearing.
4. Where an incident includes a primary and secondary violation (e.g., minor consuming and minor in premises) a Warning may be proposed for the secondary violation.
5. Where the incident is a first violation, discretion may be made to issue a Caution.
6. Prior incidents will be considered as part of the record if they occurred within three years of the date of the current incident.
7. Multiple licences for the same licensee at the same location are considered as the same for the purpose of prior violations.
8. For gaming violations, where there is a suspension or fine, only the fine applies.
9. Where this document specifies a suspension, such suspension ends when either the Board or its delegate removes the suspension or the licence or registration expires. The licensee or registrant cannot apply for a new licence or registration unless approved by the Board. Class A, B and C premises under suspension may remain open for food service only.
10. Refer to the table below for the initialisms noted in the document:

<b>BLTC</b>	Bingo Licensee Terms & Conditions	<b>HFNCCPH</b>	Host First Nation Charitable Casino Policies Handbook
<b>BLTCLBF</b>	Bingo Licensee Terms & Conditions – Licensed Bingo Facilities	<b>LAH</b>	Liquor Agency Handbook
<b>CBTC</b>	Community Bingo Terms and Conditions	<b>LH</b>	Licensee Handbook
<b>CBH</b>	Commercial Bingo Handbook	<b>LMH</b>	Liquor Manufacturer Handbook
<b>CGPH</b>	Charitable Gaming Policies Handbook	<b>PTTC</b>	Pull-Ticket Terms and Conditions
<b>CRH</b>	Cannabis Representative Handbook	<b>RCSH</b>	Retail Cannabis Store Handbook
<b>CTCOG</b>	Casino Terms & Conditions and Operating Guidelines	<b>RECTCOG</b>	Racing Entertainment Centre Terms & Conditions and Operating Guidelines
<b>ERSD</b>	Electronic Raffle Standards Document	<b>RLSH</b>	Retail Liquor Store Handbook
<b>GLCA</b>	<i>Gaming, Liquor and Cannabis Act</i>	<b>RTC</b>	Raffle Terms and Conditions
<b>GLCR</b>	Gaming, Liquor and Cannabis Regulation	<b>SEL</b>	Special Event Licence



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Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>A. Liquor Contraventions</b>					
<b>1. Illegal Manufacture, Purchase, Possession or Sale of Liquor</b>					
a. Manufacture liquor not in accordance with the GLCA or a liquor licence	s.50 GLCA		Suspension	Suspension	Suspension
b. Sell, give, possess, store, use or consume liquor not in accordance with the GLCA or a liquor licence	s.50 GLCA	Possessing single bottle of a unique product	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
		Possessing single bottle of a standard (illegal) product (e.g., rye/rum/vodka)	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Possessing 2 – 9 bottles of standard (illegal) products	\$4,000 or 16 days	\$8,000 or 32 days	Hearing
		Possessing more than 9 bottle of standard (illegal) products	\$10,000 or 40 days	\$20,000 or 80 days	Hearing
c. Permit homemade liquor in a licensed premises	s.72(1) GLCA	Class A, B, C, D, E	\$2,000 or 8 days	\$4,000 or 16 days	\$8,000 or 32 days
		Special Event Licence	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
d. Sell, offer to sell or provide liquor for consumption off the licensed premises unless authorized by licence	s.68(2) GLCA		\$2,500 or 10 days	\$5,000 or 20 days	\$10,000 or 40 days
e. Sell or give liquor while licence is suspended	s.69(1) GLCA		Hearing	Hearing	Hearing
f. Permit consumption of liquor on licensed premises while licence is suspended	s.69(1) GLCA		Hearing	Hearing	Hearing
<b>2. Illegal activities</b>					
a. Permit any activity in the licensed premises which is contrary to any municipal bylaw or any Act or Regulation of Alberta or Canada	s.69(1)(a) or 69(1)(d) GLCA	Overcrowding, contravention of municipal bylaws, or any act/regulation	Warning	\$500 or 2 days	\$1,000 or 4 days
		Permit illegal drug activities by customers or staff	\$4,000 or 16 days	\$8,000 or 32 days	Hearing
		Conduct illegal drug activities by owners, directors/ shareholders	Suspension	Suspension	Suspension
		Conduct activity in contravention of Public Health Order	Suspension	Suspension	Suspension
		Licensee in possession of, sell, offer to sell or provide stolen liquor	Suspension	Suspension	Suspension
<b>3. Liquor Pricing Policies</b>					
a. Sell or offer to sell liquor below minimum drink prices	s.5.2.3, 5.2.4 LH s.7.2.3, 7.2.4 LMH		\$2,000 or 8 days	\$4,000 or 16 days	\$8,000 or 32 days



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
b. Sell or serve more than two standard size drinks to a patron at one time after 1:00 AM	s.5.3.7a) LH s.7.3.7 LMH		\$750 or 3 days	\$1,500 or 6 days	\$3,000 or 12 days
c. Permit free liquor specials	s.5.2.8a) LH s.7.2.5a) LMH		\$2,000 or 8 days	\$4,000 or 16 days	\$8,000 or 32 days
d. Permit, multiple drinks, or all you can drink for a fixed cost promotion	s.5.2.8b), 5.2.8c) LH s.7.2.5b), 7.2.5c) LMH		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days

#### 4. Minors

a. Sell, give, or permit a person to sell or give, liquor to a minor in licensed premises  NOTE: A condition prohibiting minors may be included as part of the sanction for a third offence for any liquor licence.	s.75 GLCA	1 – 2 minors receiving liquor	\$5,000 or 20 days	\$10,000 or 40 days	\$20,000 or 80 days
		3 or more minors receiving liquor	\$6,000 or 24 days	\$12,000 or 48 days	\$24,000 or 96 days
		Under 16: 1 – 2 minors receiving liquor	\$6,000 or 24 days	\$12,000 or 48 days	\$24,000 or 96 days
		Under 16: 3 or more minors receiving liquor	\$8,000 or 32 days	\$16,000 or 64 days	\$32,000 or 128 days
		Public special event licensee	\$1,000	\$2,000	\$4,000
		Private special event licensee	\$250	\$500	\$1,000
b. Permit a minor to enter or be in a licensed premises if the licence prohibits minors	s.74(3) GLCA	1 – 2 minors	\$5,000 or 20 days	\$10,000 or 40 days	\$20,000 or 80 days
		3 or more minors	\$6,000 or 24 days	\$12,000 or 48 days	\$24,000 or 96 days
		Under 16: 1 – 2 minors	\$6,000 or 24 days	\$12,000 or 48 days	\$24,000 or 96 days
		Under 16: 3 or more	\$8,000 or 32 days	\$16,000 or 64 days	\$32,000 or 128 days
c. Failure to request proof of age from a person who appears to be under 25 OR Failure to request proof of age from a person who appears to be a minor	s.74(1) GLCA s.5.5.8 LH s.4.4.5 RLSH s.7.4.8 LMH	1 – 2 persons	\$750 or 3 days	\$1,500 or 6 days	\$3,000 or 12 days
		More than 2 persons	\$1,500 or 6 days	\$3,000 or 12 days	\$6,000 or 24 days
d. No minor may work as staff in a Class A Minors Prohibited licensed premises; a Class D licensed retail liquor store, a hotel off sales room, a manufacturer's off sales room, a duty free store; or any other premises where a "minors prohibited" condition has been imposed on the licence	s.5.5.6 LH s.7.4.7 LMH		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
e. Employ a minor for the sale or service of liquor in a licensed premises	s.94(1) GLCR	Single minor	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
		2 or more minors	\$2,000 or 8 days	\$4,000 or 16 days	\$8,000 or 32 days

#### 5. Intoxication

a. Sell or provide liquor to a person apparently intoxicated by liquor or a drug	s.75.1(a) GLCA	1 patron	\$5,000 or 20 days	\$10,000 or 40 days	\$20,000 or 80 days
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Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
		2 or more patrons	\$10,000 or 40 days	\$20,000 or 80 days	\$40,000 or 160 days
b. Permit a person apparently intoxicated by liquor or a drug to consume liquor	s.75.1(b) GLCA	1 patron	\$5,000 or 20 days	\$10,000 or 40 days	\$20,000 or 80 days
		2 or more patrons	\$10,000 or 40 days	\$20,000 or 80 days	\$40,000 or 160 days
c. Permit a person apparently intoxicated by liquor or a drug to take part in a gaming activity or provincial lottery	s.75.1(c) GLCA (liquor licensee) s.37.2 GLCA (gaming licensee)	1 patron	\$5,000 or 20 days	\$10,000 or 40 days	\$20,000 or 80 days
		2 or more patrons	\$7,500 or 30 days	\$15,000 or 60 days	\$30,000 or 120 days
<b>6. Conduct on Licensed Premises</b>					
a. Licensee and/or staff consuming liquor, or being under the influence of liquor or drugs, while on duty	s.5.3.32 LH s.4.6.3 RLSH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
b. A retail liquor store must be staffed at all times it is open for business. It cannot be staffed by a person who is working in another adjacent business, nor can another adjacent business be staffed by an employee working a retail liquor store	s.4.6.1 RLSH		\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
c. Failure to post liquor licence/AGLC-required document(s)	s.79(a) or 79(b) GLCR		Warning	\$250 or 1 day	\$500 or 2 days
d. Permit unapproved entertainment	s.5.10.4, 5.10.5 LH Refer to applicable section	Unapproved game/activity (e.g., unlicensed raffle)	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Illegal electronic (gray machines)	Suspension	Suspension	Suspension
e. Failure to comply with Nude Entertainment Policy	s.5.11 LH Refer to applicable section	1 – 2 violations of different sections of policy	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
		More than 2 violations of different sections of policy	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
f. Failure to provide adequate staff and supervision of licensed premises	s.5.6.1, 5.6.2 LH	Class A, B and C	\$2,500 or 10 days	\$5,000 or 20 days	\$10,000 or 40 days
g. Permit an activity that is detrimental to the orderly operation of the licensed premises	s.69(1)(b) GLCA	E.g., fights	\$2,500 or 10 days	\$5,000 or 20 days	\$10,000 or 40 days
h. Dispense liquor directly into patron's mouth	s.5.3.14c) LH		\$500 or 2 day	\$1,000 or 4 days	\$2,000 or 8 days
i. Failure to provide amount of liquor on menu or failure to provide a liquor menu or price list	s.66 GLCR s.5.2.1 LH		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
j. Permit an activity that may be injurious to the health or safety of people in the premises	s.69(1)(c) GLCA		\$2,500 or 10 days	\$5,000 or 20 days	\$10,000 or 40 days
k. Contravention of the ProServe/ProTect policy requirements	s.1.6.2 LH s.1.6 RLSH s.1.5.2 LMH		Warning	\$250 or 1 day	\$500 or 2 days
l. Failure to provide acceptable food service	s.5.4 LH s.3.9.8 LMH		\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
m. Permit consumption of liquor in an unauthorized area	s.5.3.29, 5.3.30 LH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
n. Allow person to remove liquor from licensed premises	s.91.1(2) GLCR	1 – 2 patrons	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		3 or more patrons	\$2,500 or 10 days	\$5,000 or 20 days	\$10,000 or 40 days
o. Allow Class C premises to be open to the public	s.43 GLCR		Warning	\$250 or 1 day	\$500 or 2 days

**7. Sale or Consumption During Unauthorized Hours**

a. Sell, offer to sell or provide liquor on an unauthorized day or during unauthorized hours	s.68(1)(b) GLCA	Single sale	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
		2 or more sales (to different patrons) on same business day	\$1,500 or 6 days	\$3,000 or 12 days	\$6,000 or 24 days
b. Permit consumption of liquor during unauthorized hours	s.71(3) GLCA	Single patron consuming	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
		2 or more patrons consuming	\$1,500 or 6 days	\$3,000 or 12 days	\$6,000 or 24 days
c. Permit unauthorized person(s) in Class A minors prohibited licensed premises during unauthorized hours	s.71(2) GLCA	1 to 5 patrons	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		6 or more patrons	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
		While the licence is suspended	Hearing	Hearing	Hearing
d. Failure to remove liquor from patron areas by 3:00 AM	s.5.3.7c) LH s.7.1.2, 7.3.7c) LMH Note: only use when no violation(s) of s.68 or 71 GLCA can be established		\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days

**8. Qualify for Licence**

a. Operate licensed premises or facility without the right to occupy and control the facility or premises	s.14(3) GLCR		Suspension of licence until hearing can be scheduled	Suspension	Suspension
b. Failure to meet facility or premises requirements	s.15(3)(a) GLCR		Suspension of licence until deficiencies are rectified	Suspension	Suspension
c. Licensee/applicant or any other person with connections to the licensee/applicant, has been convicted of a criminal offence	s.10 GLCR		Hearing	Suspension	Suspension
d. Licensee/applicant or any other person with connections to the licensee contravened the Act or regulation within 5 years	s.11 GLCR		Hearing	Suspension	Suspension



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>9. Liquor Dispensing</b>					
a. Failure to dispense liquor from the original container used to hold the liquor purchased in contravention of Board policies	s.68(2)(a) GLCR		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
b. Mix liquor from one container with liquor from another container in contravention of Board policies	s.68(5) GLCR		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
c. Mix liquor of a different brand or type in the reservoir well or holding tank of a mechanical dispensing device	s.68(6) GLCR		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
<b>10. Adulteration of Liquor</b>					
a. Blend one type or brand of liquor with another type or brand of liquor in contravention of Board policies	s.73(1)(b) GLCA		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
b. Add water or any other liquid or substance to be added to any liquor sold or given to a customer without the knowledge and consent of the customer in contravention of Board policies	s.73(2) GLCA	Single – 1 product	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
		2 – 4 products	\$2,000 or 8 days	\$4,000 or 16 days	\$8,000 or 32 days
		5 or more products	\$4,000 or 16 days	\$8,000 or 32 days	\$16,000 or 64 days
c. Adulterate or alter liquor in contravention of Board policies	s.5.3.18 LH	Single – 1 product	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
		2 – 4 products	\$2,000 or 8 days	\$4,000 or 16 days	\$8,000 or 32 days
		5 or more products	\$4,000 or 16 days	\$8,000 or 32 days	\$16,000 or 64 days
<b>11. Advertising Policy</b>					
a. Cooperative advertising between a liquor supplier/agency and a liquor licensee	s.7.1.6 LH s.6.1.6 RLSH s.8.1.7 LMH	Single advertisement	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Two or more advertisements	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
b. Common owner/operator jointly advertising operations in a single advertisement	s.7.3.4 LH s.6.2.4 RLSH s.8.3.4 LMH		\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
c. Advertising free liquor specials, multiple drink specials, pour size specials or all you can drink for a fixed cost promotions	s.5.2.5 LH s.7.2.5 LMH		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
d. Failure to comply with Liquor Advertising Policies	For violations where no specific sanction is noted, refer to applicable Advertising Section (s.7 LH, s.6 RLSH, s.6 GMLSH, or s.8 LMH)	1 – 2 violations in same advertisement	Warning	\$250 or 1 day	\$500 or 2 days
		More than 2 violations in same advertisement	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
<b>12. Product Promotion</b>					
a. Licensee accepting (requesting) from a liquor supplier/agency the underwriting of a licensee's expenses for travel whether or not for business purposes, a vacation or a combination of both	s.8.2.8 LH s.7.2.8 RLSH s.7.2.8 GMLSH s.9.2.8 LMH	Each occurrence (value up to \$1,000)	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Each occurrence (value over \$1,000)	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
b. Licensee requesting (accepting) promotional items from a liquor supplier/agency for its own use	s.8.2.2, 8.2.5 LH s.7.2.2, 7.2.5 RLSH s.7.2.2, 7.2.5 GMLSH	Each occurrence (value up to \$1,000)	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Each occurrence (value over \$1,000)	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
c. Licensee allowing free liquor to be offered (awarded) to patron as a prize. Note: Does not apply to Class D licensees	s.8.4.1a) LH s.9.4.1a) LMH		\$500 or 1 day	\$1,000 or 2 days	\$2,000 or 4 days
d. Liquor supplier/agency participating in a licensee promotion contrary to the product promotion guidelines	s.5 LAH	Each occurrence (value up to \$1,000)	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Each occurrence (value over \$1,000)	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
e. Licensee offering added value items for sale (miniatures)	s.8.8.4e)ii) LH s.7.8.4e)ii) RLSH s.7.8.4e)ii) GMLSH s.9.8.4e)ii) LMH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
f. Failure to comply with Product Promotion Policies	For violations where no specific sanction is noted, refer to applicable Promotion Section (s.8 LH, s.7 RLSH, or s.9 LMH)	1 – 2 violations in same promotion	Warning	\$250 or 1 day	\$500 or 2 days
		More than 2 violations in same promotion	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days

### 13. Inducements

a. Liquor supplier or liquor agency entering into an agreement with a liquor licensee to sell the liquor of the supplier or agency	s.66(1) GLCA		150% value of inducement	250% value of inducement	400% value of inducement
b. Liquor licensee entering into an agreement with a liquor supplier/agency in which the licensee agrees to sell the liquor of the supplier/agency	s.66(2) GLCA		150% value of inducement	250% value of inducement	400% value of inducement
c. Liquor supplier/agency, or officer, director or employee of a liquor supplier/agency, directly or indirectly selling, giving, renting or lending any furniture, furnishings, refrigeration equipment, dispensing equipment, fixtures, decorations, paintings, signs, supplies or other equipment to a liquor licensee	s.81(c) GLCR		100% value of inducement	200% value of inducement	300% value of inducement
d. Liquor supplier/agency or officer, director or employee of a liquor supplier/agency, directly or indirectly making or offering to make a loan or advance or give or offer to give money, a rebate, a concession or anything of value to a liquor licensee or to an employee or agent of that licensee	s.81(e) GLCR		100% value of inducement	200% value of inducement	300% value of inducement
e. Liquor licensee buying, receiving as a gift, renting or borrowing any furniture, furnishings, refrigeration equipment, dispensing equipment, fixtures, decorations, paintings, signs, supplies or other equipment from a liquor supplier/agency	s.82(1)(d) GLCR		100% value of inducement	200% value of inducement	300% value of inducement
f. Liquor licensee or employee or agent of the licensee directly or indirectly borrowing or receiving as a gift from any liquor supplier/agency money, an advance of money, or anything of value	s.82(2)(a) GLCR		100% value of inducement	200% value of inducement	300% value of inducement
g. Liquor licensee or employee or agent of the licensee requesting or accepting a rebate or concession from a liquor supplier/agency	s.82(2)(b) GLCR		100% value of inducement	200% value of inducement	300% value of inducement





Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>14. Special Event Licences</b>					
a. Special Event licensee advertising private function to the general public	s.3.5 SEL Private	Private Non-sale licence	Warning	\$250	\$500
		Private Resale licence	Warning	\$250	\$500
b. Special Event licensee admitting general public to private function	s.3.1 SEL Private	Private Non-sale licence	Warning	\$250	\$500
		Private Resale licence	\$250	\$500	\$1,000
<b>15. Limousines</b>					
a. Contravention of the ProServe/ProTect policy requirements	s.1.6, 1.7 LH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
b. All liquor purchased, provided or consumed in a limousine must be from the licensee, with the exception of wine as per s.5.3.4 LH	s.3.3.20i) LH		\$2,500 or 10 days	\$5,000 or 20 days	\$10,000 or 40 days
c. Failure to request proof of age from a person who appears to be under 25 OR Failure to request proof of age from a person who appears to be a minor	s.5.5.7 LH	1 – 2 persons	\$1,500 or 6 days	\$3,000 or 12 days	\$6,000 or 24 days
		More than 2 persons	\$3,000 or 12 days	\$6,000 or 24 days	\$12,000 or 48 days

Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>B. Gaming Contraventions</b>					
<b>1. Unauthorized Activities</b>					
a. Failure to immediately report irregularities, theft, fraud, cheating at play, or violations of policy	s.2.2.3, 3.5.7CBH s.2.4.2, 5.7, 5.10 CTCOG s.4.7, 4.9 RECTCOG s.B.10 PTTC s.2.4.7 RTC	Irregularities and deviations from policy	\$500	\$1,000	\$2,000
		Theft, fraud and cheating at play	\$1,000	\$2,000	\$4,000
b. Permit a minor in a licensed gaming facility where minors are prohibited	s.37.1(1)(a), 37.1(1)(b) GLCA s.1.10 CTCOG s.1.7 RECTCOG	1 – 2 minors	\$5,000	\$10,000	\$20,000
		3 or more minors	\$6,000	\$12,000	\$24,000
		Under 16: 1 – 2 minors	\$6,000	\$12,000	\$24,000
		Under 16: 3 or more	\$8,000	\$16,000	\$32,000
c. Failure to request proof of age from a person who appears to be under 25 OR Failure to request proof of age from a person who appears to be a minor	s.37.1(3) GLCA s.1.10.4 CTCOG s.1.7.2 RECTCOG s.3.10.5 CBH S.5.3 BLTCLBF	Registered worker failed to properly ID patron(s)	Warning	\$200	\$400
		1 – 2 person(s)	Warning	\$250	\$500
d. Extend credit to patrons or cash personal cheques	s.1.11.1 CTCOG s.1.9.1 RECTCOG	3 or more persons	\$750 per person	\$1,500 per person	\$3,000 per person
		1 patron	\$1,000	\$2,000	\$4,000
e. Permit a person enrolled in a self-exclusion program to enter or remain in a licensed facility	s.34.2 GLCR	2 or more patrons	\$2,000	\$4,000	\$8,000
f. Failure to maintain adequate inventory/financial records	s.6.8.1d), 8.1.3 CBH s.J.1 PTTC s.10.2.3 RTC		\$2,500 per person	\$5,000 per person	Hearing
g. Volunteer staff consuming or being under the influence of liquor, cannabis or drugs, while on duty	s.6.8.1d), 8.1.3 CBH s.J.1 PTTC s.10.2.3 RTC		\$250	\$500	\$1,000
h. Pay volunteers to work a licensed event	s.4.6.2e) or 4.6.3d) CBH s.3.2.16 CTCOG		Warning	\$250	\$500
i. Licensed charity fails to provide an accounting of the proceeds of the lottery scheme	s.4.6.1a) CBH s.5.23.6 CGPH		\$200	\$400	\$800
j. Use of unapproved Gaming Service Providers	s.21 GLCR	Failure to account for proceeds from pull ticket or raffle sales	\$250	\$500	\$1,000
k. Use of unapproved Gaming Supplier	s.1.19.4b) CTCOG s.1.13.4b) RECTCOG	Facility licensee failing to comply	\$2,500	\$5,000	Hearing
l. Failure to comply with Banned Entry and Access Management	s.1.19.4a) CTCOG s.1.13.4a) RECTCOG		\$2,500	\$5,000	Hearing
m. Failure to comply with prize disenfranchisement	s.34.01, 34.1(1) GLCR s.1.26 CTCOG s.1.19 RECTCOG		\$2,500	\$5,000	Hearing
	s.34.5(1) GLCR		\$5,000	\$10,000	\$20,000

Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>2. Security</b>					
a. Failure to comply with security standards	s.9.4 or 9.5 CBH s.5.2, 5.5, 5.6 or 5.9 CTCOG s.4.2, 4.5, 4.6 RECTCOG	General security procedures in bingo and casino facilities	\$1,000	\$2,000	\$4,000
b. Failure to comply with security standards	s.5.1, 5.3, 5.4, 5.7 or 5.8 CTCOG s.4.1, 4.4, 4.7, 4.8 RECTCOG		\$2,500	\$5,000	\$10,000
c. Failure to comply with security standards	s.6 CTCOG s.5 RECTCOG	Registered worker failing to comply	\$250	\$500	\$1,000
<b>3. Posting Licences</b>					
a. Failure to post facility licence/AGLC-required document(s)	s.33(1)(a) GLCR		Warning	\$500	\$1,000
b. Failure to post gaming licence	s.33(2)(a) GLCR		Warning	\$500	\$1,000
<b>4. Casino and REC</b>					
a. Unapproved renovations	s.4.1.6 CTCOG s.3.14 RECTCOG		\$1,500	\$3,000	\$6,000
b. Failure to maintain dedicated gaming account for all table game progressive jackpots	s.9.17.3 CTCOG		\$5,000	\$10,000	\$20,000
			In addition to sanctions above, licensee must reimburse applicable gaming account if funds are missing		
c. Failure to ensure registered workers meet the requirements of their position	s.4.4.4b) CTCOG s.3.4.3b) RECTCOG		\$500	\$1,000	\$2,000
d. Failure to ensure registered gaming workers conduct games in accordance with section 9 of the CTCOG and rules of play	s.4.4.4c), 6.4.1a) CTCOG		\$500	\$1,000	\$2,000
e. Compensate an individual for playing games at a facility	s.4.7.1 CTCOG s.3.7.2 RECTCOG		\$1,000	\$2,000	\$4,000
f. Failure to maintain security access provisions	s.4.14 CTCOG s.3.13 RECTCOG		\$1,000	\$2,000	\$4,000
g. Failure to ensure conditions of patrons are adhered to	s.4.4.4d) CTCOG s.3.4.3c) RECTCOG		\$1,000	\$2,000	\$4,000
h. Failure to post or adhere to house rules	s.4.6.1d) CTCOG s.3.6.1d) RECTCOG		\$500	\$1,000	\$2,000
i. Failure to comply with approved game rules/minor game variations	s.9.18 CTCOG		\$500	\$1,000	\$2,000
j. Failure to comply with uniform policy	s.1.14 CTCOG s.1.8 RECTCOG		\$500	\$1,000	\$2,000
k. Failure to comply with approved tournament structure	s.1.17, 16.9 CTCOG s.10.9 RECTCOG		\$500	\$1,000	\$2,000
<b>5. Bingo</b>					
a. Bingo fixed fee expenses not in accordance with the approved licence	s.8.1.2 and 8.2.2 CBH		\$100	\$200	\$400
b. Permit a minor to enter a licensed bingo facility which offers electronic gaming	s.3.10.3 CBH s.5.1 BLTCLBF		\$500	\$1,000	\$2,000



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
c. Permit a minor to play bingo or keno in a licensed facility	s.3.10.1 or 3.10.2 CBH s.5.1 BLTCLBF		\$750	\$1,500	\$3,000
d. Failure to maintain security of accumulated prize funds	s.5.4.4a), 5.4.4x) CBH		\$100	\$200	\$400
e. Failure to ensure registered workers meet the requirements of their position	s.4.5.4 CBH		\$200	\$400	\$800
f. Delegate the conduct of a bingo event to another party	s.3.14.6 CBH		\$500	\$1,000	\$2,000
<b>6. Registered Gaming Workers</b>					
a. Gaming or First Nation charity worker working at a gaming event when not registered	s.39(1) GLCA	1 – 14 days	Warning	\$250	\$500
		15 or more days	\$250	\$500	\$1,000
b. Facility or gaming licensee employing an unregistered gaming or First Nation charity worker to work at a gaming event	s.39(3) GLCA	Up to 2 workers	\$1,000	\$2,000	\$4,000
		3 to 4 workers	\$1,500	\$3,000	\$6,000
		Over 4 workers	\$2,000	\$4,000	\$8,000
c. Failure to notify AGLC when gaming or First Nation charity worker convicted of or charged with a criminal offence	s.3.5.5 CBH s.6.1.6 CTCOG s.3.2.2 HFNCCPH s.5.1.15 RECTCOG		\$500	\$1,000	\$2,000
d. Registered worker failing to notify AGLC when charged or convicted of a criminal offense	s.4.4.11 CBH s.6.1.7 CTCOG s.3.2.3 HFNCCPH s.5.1.14 RECTCOG		Suspension	Suspension	Suspension
e. Failure to comply with AGLC registration card or identification tag requirements	s.6.2.15 CTCOG s.5.2.8 RECTCOG s.3.3.8 HFNCCPH s.4.7.6 CBH		Warning	\$250	\$500
f. Transfer AGLC registration card to another individual	s.6.2.13 CTCOG s.3.3.8b) HFNCCPH		\$1,000	\$2,000	Suspension or cancellation
g. Registered gaming worker and/or charity worker consuming or being under the influence of liquor, cannabis or drugs while on duty	s.4.6.3d) CBH s.6.2.8 CTCOG s.5.2.6 RECTCOG		\$1,000	\$2,000	Suspension or cancellation
h. Registered gaming worker has committed an act that is contrary to the public interest or that detracts from the integrity with which gaming activities are conducted	s.91(1)(f) GLCA	Determined on a case-by-case basis	Suspension or cancellation	Suspension or cancellation	Suspension or cancellation
i. Advisors failing to fulfill their duties	s.6.3 CTCOG	1 – 2 violations	\$500	\$1,000	\$2,000
		3 or more violations	\$1,000	\$2,000	\$4,000
j. Registered gaming worker failing to fulfill their duties	s.6.4, 6.5, 6.6, 6.7, 6.8, 6.9, 6.10, 6.11, 6.12, 6.13, CTCOG s.5.3.4, 5.3.5, 5.3.6, 5.3.7, 5.3.8, 5.3.9, 5.3.10, RECTCOG s.4.8, 4.10 CBH	1 – 3 violations (Dealer, monitor room personnel, Security Guard, slot operator, cashier, caller, pull ticket seller)	Warning up to \$100	\$200	\$400
		4 or more violations (Dealer, monitor room personnel, Security Guard, slot operator, cashier, caller, pull ticket seller)	\$200	\$400	\$800



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
		1 – 3 violations (Pit Boss, Slot Supervisor, casino facility operator representative, Bingo Advisor)	\$200	\$400	\$800
		4 or more violations (Pit Boss, Slot Supervisor, casino facility operator representative, Bingo Advisor)	\$400	\$800	\$1,600
		1 – 3 violations (Pit Supervisor)	\$250	\$500	\$1,000
		4 or more violations (Pit Supervisor)	\$500	\$1,000	\$2,000
		1 – 3 violations (Games Manager, Director of Security, Manager of Security, Surveillance Manager, Slot Manager, Casino Manager, Pull Ticket Manager, Bingo Hall Manager)	\$500	\$1,000	\$2,000
		4 or more violations (Games Manager, Director of Security, Manager of Security, Surveillance Manager, Slot Manager, Casino Manager, Pull Ticket Manager, Bingo Hall Manager)	\$1,000	\$2,000	\$4,000

### 7. Raffles and Sports Drafts

a. Failure to have a mechanism in place to verify the ticket purchaser is 18 years or older and/or ticket purchaser is located in Alberta at the time of purchase  Sell a sports draft entry form (ticket) to a person under age 18 years	s.1.2.12, 2.1.2a), 7.2.3 RTC	Raffles with a total ticket value \$20,000 and less	\$100	\$200	\$400
		Raffles with a total ticket value over \$20,000	Greater of value of tickets sold or \$100	Greater of value of tickets sold * 1.5 or \$500	Greater of value of tickets sold * 2.0 or \$1,000
b. Total tickets printed or sold exceeded the number approved in the licence or its approved amendment  Sold tickets at prices other than those indicated in the approved licence	s.2.3.1b), 2.3.1c) RTC	10 and less	Warning	\$250	\$500
		Over 10	Value of unapproved tickets plus \$50	Value of unapproved tickets plus \$250	Value of unapproved tickets plus \$500

<b>Violation</b>	<b>Contravention</b>	<b>Specifics of Violation</b>	<b>1<sup>st</sup> Violation</b>	<b>2<sup>nd</sup> Violation</b>	<b>3<sup>rd</sup> Violation</b>
c. Licensee requiring members to purchase or sell raffle tickets as a condition of membership or continued participation in the programs or services the licensee offers	s.2.3.1h) RTC		\$100	\$200	\$400
d. Advertise or promote raffle tickets to persons outside of Alberta	s.5.1.6 RTC	Raffles with a total ticket value \$20,000 and less	\$25	\$50	\$100
		Raffles with a total ticket value of between \$20,001 and \$100,000	\$50	\$100	\$200
		Raffles with a total ticket value of \$100,001 or more	\$100	\$200	\$400
e. Failure to ensure that all eligible tickets form part of the draw	s.6.1.1, 6.1.3 RTC	Raffles with total ticket value \$20,000 and less	Redraw for full value of prizes or value of tickets not part of draw plus \$25	Redraw for full value of prizes or value of tickets not part of draw plus \$50	Redraw for full value of prizes or value of tickets not part of draw plus \$100
		Raffles with total ticket value between \$20,001 and \$100,000	Redraw for full value of prizes or value of tickets not part of draw plus \$50	Redraw for full value of prizes or value of tickets not part of draw plus \$100	Redraw for full value of prizes or value of tickets not part of draw plus \$200
		Raffles with total ticket value of \$100,001 or more	Redraw for full value of prizes or value of tickets not part of draw plus \$100	Redraw for full value of prizes or value of tickets not part of draw plus \$200	Redraw for full value of prizes or value of tickets not part of draw plus \$400
f. Spend raffle revenue on expenses or approved uses of proceeds prior to sufficient funds being available to secure prizes	s.7.1.6, 8.1.5 RTC	Raffles with total ticket value \$20,000 and less	\$25	\$50	\$100
		Raffles with total ticket value between \$20,001 and \$100,000	\$100	\$200	\$400
		Raffles with total ticket value of \$100,001 or more	\$200	\$400	\$800
g. Failure to keep a record showing distribution of tickets and cash or unsold tickets	s.10.2.1 RTC	Raffles with total ticket value \$20,000 and less	\$25	\$50	\$100

Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
		Raffles with total ticket value between \$20,001 and \$100,000	\$100	\$200	\$400
		Raffles with total ticket value of \$100,001 or more	\$400	\$800	\$1,600
h. Failure to retain all tickets with the raffle records for two years after the last draw date OR Failure to keep all raffle records for two years after the last draw date	s.6.1.18, 10.2.3 RTC	Raffles with total ticket value \$20,000 and less	\$50	\$100	\$200
		Raffles with total ticket value between \$20,001 and \$100,000	\$100	\$200	\$400
		Raffles with total ticket value of \$100,001 or more	\$400	\$800	\$1,600
i. Failure to post and/or contact participants with results for rankings, points or prize winners	s.7.1.1 RTC	Raffles with total ticket value \$20,000 and less	\$50	\$100	\$200
		Raffles with total ticket value between \$20,001 and \$100,000	\$100	\$200	\$400
		Raffles with total ticket value of \$100,001 or more	\$200	\$400	\$800

### 8. Pull-Tickets

a. Sell pull-tickets to, or cash in pull-tickets for, a person under the age of 18 years	s.B.2 PTTC		\$100	\$200	\$300
b. Failure to pay winning tickets	s.B.7 PTTC		\$250	\$500	\$1,000
c. Failure to use the approved inventory and sales form	s.J.1 PTTC		\$100	\$200	\$400
d. Failure to keep pull-ticket records for two years after licence expires	s.J.3 PTTC		\$100	\$200	\$400
e. Sell pull-tickets in an area not approved on the licence	s.F.3 PTTC		\$100	\$200	\$400

### 9. Use of Proceeds

a. Expenditure of proceeds on unapproved objectives	Refer to applicable subsection in BLTCLBF, BLTC, CBH, CBTC, CGPH, CTCOG, HFNCCPH, PTTC, RTC	Charitable gaming proceeds disbursed:			
		\$5,000 or less	Warning	\$25	\$50
		\$5,000 – \$10,000	\$25	\$50	\$100
		\$10,001 or more	0.5% of proceeds misused	1% of proceeds misused	2% of proceeds misused
All % calculations shall be rounded up or down to the nearest \$50 increment. In addition to the sanctions above, the licensee must reimburse the applicable gaming account for the ineligible objects.					
b. Failure to maintain gaming funds in the respective gaming account(s)	s.4.4.7 CGPH s.6.4.5 HFNCCPH		\$100	\$200	\$400



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
c. Failure to pay by credit card, debit card, pre-authorized debit (PAD), electronic funds transfer (EFT), bank draft or cheque without proper support, payments to individuals without prior approval; less than two authorized signatures	s.4.4.6 CGPH s.6.5.2e), 6.5.5 HFNCCPH		\$100	\$200	\$400
d. Failure to submit wage form and obtain approval from the AGLC prior to paying wages	s.5.24.6 CGPH		\$100	\$200	\$400
e. Failure to maintain ownership of the item purchased by the licensed charity or sub-charity	s.5.10.1 CGPH s.7.16.2 HFNCCPH	Item(s) cost:			
		\$25,000 or less	\$100	\$200	\$400
		\$25,001 – \$49,999	\$250	\$500	\$1,000
		\$50,000 – \$74,999	\$500	\$1,000	\$2,000
		\$75,000 – \$99,999	\$750	\$1,500	\$3,000
		\$100,00 or more	\$1,000	\$2,000	\$4,000
f. Failure to follow the circumstances required for proper use of vehicles purchased with gaming proceeds	s.5.10.5 CGPH s.7.16.7 HFNCCPH		\$100	\$200	\$400
g. Failure to disburse gaming funds in accordance with 24 month requirement or seek extension	s.4.4.8 CGPH	Up to \$25,000	Warning	\$200	\$400
		\$25,001 – \$50,000	\$100	\$200	\$400
		\$50,001 – \$100,000	\$200	\$400	\$800
		\$100,001 or more	\$300	\$600	\$1,200
			For all failure to disburse gaming funds within 24 month period, the licensee will be directed to comply with policy requirements as a condition of the licence. Failure to comply will result in suspension of the licence.		
h. Pays members, director or officers for program-related duties	s.2.1.1d) CGPH		\$25	\$50	\$100
i. Failure to apply cost recovery where a fee is charged or revenue is generated for programs or services for the purpose of generating a profit	s.2.1.7 CGPH		Warning	\$25	\$50
j. Failure to spend gaming proceeds consistent with group's eligibility	s.4.4.3 CGPH		\$25	\$50	\$100
k. Failure to obtain AGLC approval prior to disbursement of gaming proceeds	s.4.4.5 CGPH		\$25	\$50	\$100
l. Failure to maintain a "Recipient Agreement" and provide it to AGLC upon request	s.5.6.4, 5.6.5, 5.6.6, 5.6.7 CGPH		\$25	\$50	\$100

### 10. Host First Nation Charity

a. Failure of sub-charities in receipt of an annual amount of \$50,000 or more in proceeds to set up a designated casino account to which all proceeds received are deposited, unless otherwise approved by the AGLC	s.6.4.20 HFNCCPH		\$500	\$1,000	\$2,000
b. Failure to keep a full accounting of all sources of funding and disbursements	s.6.5.13 HFNCCPH		\$500	\$1,000	\$2,000
c. Charitable gaming proceeds transferred to an ineligible party that does not comply with section 2.1.1 or has not received approval by the AGLC	s.2.2.1, 2.2.2 HFNCCPH		\$500	\$1,000	\$2,000
d. Failure to implement or apply appropriate selection criteria for determining recipients or failure to make programs reasonably available to all individuals of the Host First Nation community	s.7.5.3c), 7.6.5, 7.20.3, 7.21.4, and 7.23.7 HFNCCPH		\$500	\$1,000	\$2,000





Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>11. Electronic Raffle</b>					
a. ERS not approved by AGLC	s.3.1.1c) RTC	Registered supplier provided unapproved ERS to charity	\$2,500	\$5,000	\$10,000
		Charity developed ERS not approved by AGLC prior to use	\$500	\$1,000	\$2,000
		ERS software altered after ATF certification and/or AGLC approval	\$500	\$1,000	\$2,000
b. ERS operated without ATF certification for the ERSD	s.3.1.1a) RTC	Registered supplier provided uncertified ERS to charity	\$10,000	Hearing	Hearing
		Charity developed and used uncertified ERS	\$5,000	Hearing	Hearing
c. Inspector unable to complete software verification	s.3.1.1 RTC 5.4.1 ERSD	Inspector unable to access ERS	Warning	\$500	\$1,000
		ERS prevented system check	Warning	\$500	\$1,000
d. Duplicate ticket/counterfoil present in the draw	s.4.1.1 RTC s.3.2.1b), 4.2.4, 4.7.1 ERSD		Value of awarded prize(s) plus \$100	Value of awarded prize(s) plus \$200	Value of awarded prize(s) plus \$400
e. ERS server located in data centre without AGLC approval	s.3.1.8 RTC	Installed by supplier	\$500	\$1,000	\$2,000
		Installed by charity	\$500	\$1,000	\$2,000
f. System administrator not present as required	s.4.2.10 RTC	Charity assigned role	Warning	\$200	\$400
g. System administrator not registered as raffle worker as required	s.4.2.4b) RTC	Paid position	\$250	\$500	\$750

Violation		Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
Violation	Classification of Violation <sup>1</sup>	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>C. Anti-Money Laundering Contraventions</b>						
<b>1. AML – General</b>						
a. Failure to comply with AML policy	Minor	For AML violations where no specific sanction is noted (refer to applicable subsection in CTCOG, RECTCOG)	Facility licensee	\$1,000	\$2,000	\$4,000
			Registered gaming worker	\$250	\$500	\$1,000
b. Failure to issue a Stop Play Notification	Very Serious	s.18.6.4, 18.7.4, 18.8.4, 18.9.5 CTCOG s.12.6.4, 12.7.4, 12.8.4, 12.9.4 RECTCOG	Facility licensee	\$5,000	\$10,000	Hearing
			AML key position	\$1,000	\$2,000	\$4,000
c. Failure of an advisor to witness a transaction of \$3,000 or more	Serious	s.18.9.4 CTCOG	Advisor	\$1,000	\$2,000	Hearing
d. Failure to legibly record information	Serious	s.18.2.4 CTCOG s.12.2.4 RECTCOG		\$500	\$1,000	\$2000
e. Failure to provide requested information within the specified time frame	Serious	s.18.2.2 CTCOG s.12.2.2 RECTCOG	Facility licensee	\$2,500	\$5,000	Hearing
			Registered gaming worker	\$500	\$1,000	Hearing
f. Accepting identification that does not meet policy requirements	Serious	s.18.6.2 CTCOG s.12.6.2 RECTCOG	Facility licensee	\$2,500	\$5,000	Hearing
			Registered gaming worker	\$500	\$1,000	Hearing
<b>2. Confidentiality and Privacy</b>						
a. Photocopying patron credit/debit cards OR Photocopying/retaining a copy of identification for unauthorised use	Serious	s.18.3.3, 12.3.3 RECTOG s.18.6.5, 12.6.5 CTCOG	Facility licensee	\$2,000	\$4,000	\$8,000
			Registered gaming worker	\$500	\$1,000	\$2,000
b. Releasing personal patron information without approval from the AGLC	Serious	s.18.3.1 CTCOG s.12.3.1 RECTCOG		\$2,000	\$4,000	Hearing
c. Failure of a casino facility licensee to comply with FOIP requirements	Serious	s.18.3.2 CTCOG s.12.3.2 RECTCOG	Facility licensee	\$5,000	\$10,000	Hearing
<b>3. Training</b>						
a. Allowing a registered worker to work when not AML certified	Serious	s.18.5.1 CTCOG s.12.5.1 RECTCOG	Facility licence	\$1,000/ employee	\$2,000/ employee	\$4,000/ employee
b. Contravention of AML certification policy	Serious	s.18.5.2 CTCOG s.12.5.2 RECTCOG	Registered gaming worker	\$250	\$500	Hearing
<b>4. Facility Requirements</b>						
a. Failure to designate AML Liaison /Administrator	Serious	s.18.4.2, 18.4.3 CTCOG s.12.4.2, 12.4.3 RECTCOG		\$1,500	\$3,000	\$6,000
b. Failure of a casino facility licensee to notify the AML Unit of changes to AML Administrator within same gaming day	Serious	s.18.4.10 CTCOG s.12.4.10 RECTCOG		\$750	\$1,500	\$3,000

<sup>1</sup> As per the Proceeds of Crime (Money Laundering) and Terrorist Financing Administrative Monetary Penalties Regulations Schedule



Violation		Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation	
c.	Failure to implement AML policies and procedures as per AGLC policy	Serious	s.18.4.4 CTCOG s.12.4.4 RECTCOG		\$1,500	\$3,000	\$6,000
d.	Failure to obtain approval of procedures involving the storage, collection or retention of patron funds	Serious	s.18.4.8 CTCOG s.12.4.8 RECTCOG		\$750	\$1,500	\$3,000
e.	Failure to destroy PTR and supporting documents within 30 days	Serious	s.18.4.6 CTCOG s.12.4.6 RECTCOG		\$750	\$1,500	\$3,000
f.	Conducting domestic currency denomination exchanges in excess of \$1,000 (CAD)	Serious	s.18.4.12 CTCOG s.12.4.12 RECTCOG	Facility licensee	\$1,000	\$2,000	\$4,000
				Registered gaming worker	\$250	\$500	\$1,000
g.	Permitting less than \$10,000 (CAD) of chips to be redeemed at a Cashier Slot Cage when the Charity Cash Cage is operational	Serious	s.18.4.13 CTCOG	Facility licensee	\$2,000	\$4,000	\$8,000
				Registered gaming worker	\$500	\$1,000	\$2,000
h.	Failure to pay out patron in the same denomination bills used to buy-in	Serious	s.18.4.14 CTCOG	Facility licensee	\$2,000	\$4,000	\$8,000
				Registered gaming worker	\$500	\$1,000	\$2,000
<b>5. Record Keeping</b>							
a.	Failure to commence player tracking at required threshold	Serious	s.18.4.15, 18.9.5 CTCOG s.12.9.4 RECTCOG	Facility licensee	\$1,000	\$2,000	\$4,000
				Advisor/AML key position/registered gaming worker	\$250	\$500	\$1,000
b.	Failure to take reasonable measures to determine if any individual is acting on behalf of third party	Serious	s.18.12.1 CTCOG s.12.12.1 RECTCOG	Facility licensee	\$1,000	\$2,000	\$4,000
				AML key position	\$250	\$500	\$1,000
c.	Failure to utilize approved patron transaction report (PTR)	Serious	s.18.4.5 CTCOG s.12.4.5 RECTCOG	Facility licensee	\$1,000	\$2,000	\$4,000
				Advisor/registered gaming worker	\$250	\$500	\$1,000
d.	Unauthorized access or use of the AML reporting system	Serious	s.18.16.5 CTCOG S.12.16.5 RECTOG	AML administrator/key position	\$1,000	\$2,000	Hearing
e.	Failure to verify patron identification on a Patron Transaction Report or update patron identification when alerted by the AML Reporting System	Serious	s.18.6.6, 18.6.7 CTCOG s.12.6.6, 12.6.7 RECTCOG	Facility licensee	\$2,000	\$4,000	Hearing
				AML key positions	\$500	\$1,000	Hearing
f.	Failure to take reasonable measures to request and record patron information	Serious	s.18.8.6, 18.9.6 CTCOG s.12.8.6, 12.9.5 RECTCOG	Facility licensee	\$1,000	\$2,000	\$4,000
				AML key positions	\$250	\$500	\$1,000
<b>6. Reporting</b>							
a.	Failure to complete a Patron Transaction Report for a reportable transaction of \$10,000 or more or a Receipt of Funds Transaction Report of \$3,000 or more	Very Serious	s.18.4.1, 18.7.1, 18.8.1, 18.9.1, 18.10.5 CTCOG s.12.4.1, 12.7.1, 12.8.1, 12.9.1, 12.10.5 RECTCOG	Facility licensee 1 – 5 reports	\$5,000/ report	\$10,000/ report	Hearing
				AML key position 1 – 5 reports	\$500/ report	\$1,000/ report	Hearing
				Facility licensee 6 or more reports	Hearing	Hearing	Hearing
				AML key position 6 or more reports	Hearing	Hearing	Hearing
b.	Failure to submit a Large Cash Transaction PTR, Casino Disbursement PTR, Foreign Currency PTR, Receipt of Funds Transaction Report or an Unusual Transaction Report within the specified time frame	Serious	s.18.7.2, 18.8.2, 18.9.2, 18.10.2, 18.11.2 CTCOG s.12.7.2, 12.8.2, 12.9.2, 12.10.2, 12.11.2	Casino facility licensee 1 – 5 reports	\$2,000/ report	\$4,000/ report	Hearing
				AML key position 1 – 5 reports	\$500/ report	\$1,000/ report	Hearing



Violation		Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation	
		RECTCOG	Facility licensee 6 or more reports	Hearing	Hearing	Hearing	
			AML key position 6 or more reports	Hearing	Hearing	Hearing	
c.	Failure to complete or submit Patron Transaction Report attachments	Serious	s.18.4.7 CTCOG s.12.4.7 RECTCOG	Facility licensee \$2,000	\$4,000	Hearing	
			AML key position	\$500	\$1,000	Hearing	
d.	Failure to immediately notify an AML Key Position of an unusual transaction	Very Serious	s.18.11.3 CTCOG s.12.11.3 RECTCOG	Registered gaming worker	\$500	\$1,000	Hearing
e.	Failure to complete or submit an Unusual Transaction Report	Very Serious	s.18.11.2, 18.11.4, 18.12.2 CTCOG s.12.11.2, 12.11.4, 12.12.2 RECTCOG	Facility licensee \$5,000/ report	\$10,000/ report	Hearing	
			AML key position	\$500/ report	\$1,000/ report	Hearing	
f.	Failure to request identification when required	Very Serious	s.18.7.1, 18.8.1, 18.9.1 CTCOG s.12.7.1, 12.8.1, 12.9.1 RECTCOG	Facility licensee \$5,000	\$10,000	Hearing	
			AML key position/ advisor	\$500	\$1,000	Hearing	
g.	Failure to follow terrorist property protocol	Very Serious	s.18.15.1, 18.15.2 CTCOG s.12.15.1, 12.15.2 RECTCOG		\$5,000	\$10,000	Hearing

## 7. Monetary Instruments

a.	Issue a facility cheque contrary to AML policy	Very Serious	s.18.13.1, 18.13.2, 18.13.3, 18.13.4 CTCOG s.12.13.1, 12.13.2, 12.13.3, 12.13.4 RECTCOG	Facility licensee \$5,000	\$10,000	Hearing	
				AML key position	\$500	\$1,000	Hearing
b.	Use of unapproved non-traditional financial instrument to deliver funds to patrons	Serious	s.18.4.9 CTCOG s.12.4.9 RECTCOG		\$1,500	\$3,000	\$6,000
c.	Sell or redeem a gift certificate/card in excess of approved value	Serious	s.18.14.2, 18.14.4, 18.14.5 CTCOG s.12.14.2, 12.14.4, 12.14.5 RECTOG		\$1,500	\$3,000	\$6,000
d.	Failure to maintain a record of gift certificate/card purchases	Serious	s.18.14.3 CTCOG s.12.14.3 RECTOG		\$1,500	\$3,000	\$6,000
e.	Redemption of gift certificate/card at an unauthorized location	Serious	s.18.14.6 CTCOG		\$1,500	\$3,000	\$6,000

Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>D. Gaming, Liquor and Cannabis General Contraventions</b>					
<b>1. General</b>					
a. Failure to comply with Board policy	For liquor violations where no specific sanction is noted (Refer to applicable subsection in LH, LAH, RLSH, LMH)		Warning to \$250 or 1 day	\$250 or 1 day to \$500 or 2 days	\$500 or 2 days to \$1,000 or 4 days
	For general gaming violations Sanction for more significant violations are outlined in Section B (Refer to applicable subsection in BLTCLBF, BLTC, CBTC, CBH, CTCOG, HFNCCPH, CGPH, PTTC, RECTCOG, RTC)	Up to 2 violations	Warning to \$250	\$250 to \$500	\$500 to \$1,000
		3 – 5 violations	\$250	\$500	\$1,000
		6 – 10 violations	\$750	\$1,500	Hearing
		11 or more violations	\$1,000	Hearing	Hearing
	For violations by registrants where no specific sanction is noted (Refer to applicable T&Cs)	Up to 2 violations	\$100	\$200	\$400
		3 – 5 violations	\$200	\$400	\$800
		6 – 10 violations	\$300	\$600	\$1,200
		11 or more violations	Suspension	Suspension	Suspension
	b. Failure to provide reports and information specified by the AGLC	s.100 GLCA		\$750 and/or suspension of licence(s) until information provided	\$1,500 and/or suspension of licence(s) until information provided
Charities that failed to provide financial information as required			\$100 and/or suspension of licence(s) until information provided	\$200 and/or suspension of licence(s) until information provided	\$400 and/or suspension of licence(s) until information provided
Note: Applications for new/reissue licences will be refused until information is provided					
c. Hinder, obstruct or impede an inspector(s)	s.99 GLCA		\$3,500 or 14 days	\$7,000 or 28 days	Suspension
d. Failure to assist an inspector(s) when requested	s.104 GLCA		\$1,500 or 6 days	\$3,000 or 12 days	Suspension
e. Failure to report sale, assignment or transfer of a portion of business	s.76.2(1) GLCR (liquor premises)	Resulting in change in control	Suspension	Suspension	Suspension



<b>Violation</b>	<b>Contravention</b>	<b>Specifics of Violation</b>	<b>1<sup>st</sup> Violation</b>	<b>2<sup>nd</sup> Violation</b>	<b>3<sup>rd</sup> Violation</b>
	s.30.2 GLCR (facility licence/gaming registration)	Change in ownership but not control	\$2,500	\$5,000	Hearing
f. Failure to comply with an imposed condition	s.91(1)(a) GLCA	Only applies to conditions <u>not</u> imposed by the Board. Sanction determined on a case-by-case basis.	\$250 or 1 day to hearing	\$500 or 2 days to hearing	\$1,000 or 4 days to hearing
g. Gaming worker supplier providing unregistered worker to work at a gaming event	s.39(2) GLCA	Up to 2 workers	\$1,000	\$2,000	\$4,000
		3 – 4 workers	\$1,500	\$3,000	\$6,000
		Over 4 workers	\$2,000	\$4,000	\$8,000
h. Liquor licensee sells liquor to a person other than the Commission	s.79(1) GLCA	Failure to report sales information as required	\$2,500 and suspension of licence(s) until information provided/ payment made	\$5,000 and suspension of licence(s) until information provided/ payment made	\$10,000 and suspension of licence(s) until information provided/ payment made
		Failure to pay outstanding balance/ amount owing to AGLC where reports provided but balance remain outstanding			
i. Failure to comply with orders under the <i>Public Health Act</i>	s.91(1)(c) GLCA		Suspension	Suspension	Suspension

Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>E. Cannabis Contraventions</b>					
<b>1. Illegal Activities</b>					
a. Permit an activity in the licensed premises which is contrary to any municipal bylaw or any Act or regulation of Alberta or Canada	s.90.19(1)(a) GLCA	Contravention of any municipal bylaws or Act/regulation	Warning	\$500 or 2 days	\$1,000 or 4 days
		Permit illegal drug activities by customers or staff	\$4,000 or 16 days	\$8,000 or 32 days	Hearing
		Conduct illegal drug activities by owners, directors/ shareholders	Suspension	Suspension	Suspension
<b>2. Minors</b>					
a. Sell, give, or permit a person to sell or give cannabis to a minor in a licensed premises	s.90.04 GLCA	Per minor receiving cannabis	\$10,000 or 40 days	\$20,000 or 80 days	Hearing
b. Permit a minor to enter or be in a licensed premises	s.90.03(1) GLCA	Per minor	\$5,000 or 20 days	\$10,000 or 40 days	\$20,000 or 80 days
c. Failure to request proof of age from a person who appears to be under 25 OR Failure to request proof of age from a person who appears to be a minor	s.90.03(3) GLCA s.4.4.3 RCSH	1 – 2 persons	\$750 or 3 days	\$1,500 or 6 days	\$3,000 or 12 days
		More than 2 persons	\$1,500 or 6 days	\$3,000 or 12 days	\$6,000 or 24 days
d. No minor may work as staff in a retail cannabis store	s.4.4.11 RCSH		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
<b>3. Intoxication</b>					
a. Sell or provide cannabis to a person apparently intoxicated by liquor or a drug	s.90.05(a) GLCA	Per person	\$5,000 or 20 days	\$10,000 or 40 days	Hearing
<b>4. Conduct on Licensed Premises</b>					
a. Licensee and/or staff consuming cannabis or being under the influence of liquor or drugs while on duty	s.4.6.3 RCSH		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
b. A retail cannabis store must be staffed at all times it is open for business. It cannot be staff by a person who is working in another adjacent business nor can another business be staffed by an employee working in a retail cannabis store	s.4.6.1 RCSH		\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
c. Permit an activity that is detrimental to the orderly operation of the licensed premises	s.90.19(1)(b) GLCA		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
d. Permit an activity that may be injurious to the health and safety of people in the premises	s.90.19(1)(c) GLCA		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
e. Permit an activity that is prohibited under the cannabis licence or by the regulations	s.90.19(1)(d) GLCA		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
f. All staff are Qualified Cannabis Worker prior to working in a cannabis licensed premises	s.1.6.1a), 1.6.1b), 1.6.1c), 1.6.1d) RCSH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
g. Sell, offer to sell or provide any cannabis in inventory not acquired from the AGLC	s.90.18(1) GLCA		Hearing	Hearing	Hearing
h. Alter or permit another person to alter in any way cannabis that is offered for sale	s.90.18(2) GLCA		Hearing	Hearing	Hearing



Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
i. Display cannabis for sale not in accordance with legislation or policy	s.90.23(a) GLCA		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
j. Failure to comply with security standards	s.109(2) GLCR		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
k. Using cannabis within the licensed premises	s.123(2) GLCR		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
l. Selling more than the maximum permitted amounts of cannabis in a single transaction	s.125(2) GLCR		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
m. Failure to notify AGLC when charged with or convicted of an offence	s.1.4.3 RCSH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
n. Failure to post cannabis licence/AGLC-required document(s)	s.122(a) or 122(b) GLCR		Warning	\$250 or 1 day	\$500 or 2 days
o. Failure to report to AGLC an over delivery of cannabis products	s.5.6.3 RCSH		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
<b>5. Sale or Consumption During Unauthorized Hours</b>					
a. Sell, offer to sell or provide cannabis on an unauthorized day or during unauthorized hours	s.90.18(1)(b) GLCA		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
b. Permit unauthorized persons in a retail cannabis licensed premises during unauthorized hours	s.90.21(2) GLCA		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
<b>6. Registered Cannabis Representative</b>					
a. Failure to notify AGLC when qualified cannabis workers, key employees, or director/shareholders charged with or convicted of an offence	s.1.4.3 CRH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
<b>7. Inducements</b>					
a. Cannabis supplier directly or indirectly provide or offer to provide anything of value to a cannabis licensee, its employee or agent, or cannabis representative	s.118(1) GLCR		100% of value	200% of value	300% of value
b. Cannabis licensee buy, receive as a gift, rent or borrow anything of value from a cannabis supplier or cannabis representative	s.119(1) GLCR		100% of value	200% of value	300% of value
c. Cannabis licensee, its employee or agent, or cannabis representative <ul style="list-style-type: none"> <li>directly or indirectly borrow or receive as a gift anything of value</li> <li>request or accept a rebate or concession from a cannabis supplier or cannabis representative</li> </ul>	s.119(2)(a) or 119(2)(b) GLCR		100% of value	200% of value	300% of value
d. Enter into an agreement with a supplier or registrant to sell or promote the supplier's cannabis	s.90.16(a) GLCA		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
<b>8. Advertising</b>					
a. Failure to comply with cannabis advertising or promotion policies	s.90.17 GLCA s.6.1, 6.2 RCSH s.4.1, 4.2 CRH		\$10,000 or 40 days	\$25,000 or 100 days	Suspension pending hearing
b. Cooperative advertising between a cannabis supplier/agency and a cannabis retail licensee	s.6.1.7 RCSH s.4.1.7 CRH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
c. Failure to comply with federal, provincial and municipal legislation requirements relating to brand element (s.17(6) <i>Cannabis Act</i> (Canada), s.104.2 Cannabis Regulations (Canada))	s.1.4.1d RCSH s.1.1.4(d) CRH		\$10,000 or 40 days	\$25,000 or 100 days	Suspension pending hearing





Violation	Contravention	Specifics of Violation	1 <sup>st</sup> Violation	2 <sup>nd</sup> Violation	3 <sup>rd</sup> Violation
<b>9. Record Keeping</b>					
a. Failure to submit Cannabis Retailer Monthly Federal Compliance Report (CRMFCR) to AGLC by midnight on the tenth day of each calendar month	s.100 GLCA s.4.11.3 RCSH	Within 7 days after deadline	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
		Within 8 – 14 days after deadline	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
		Within 15 – 30 days after deadline	\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
<b>10. General</b>					
a. Failure to report a change in ownership but not control	s.113(1) GLCR		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
b. Failure to report a change in financial interest	s.114 GLCR		\$2,500 or 10 days	\$5,000 or 20 days	Hearing
c. Failure to comply with a recall	s.5.3 RCSH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
d. Failure to comply with Board policy	Refer to applicable section/subsection of GLCA, GLCR, RCSH, CRH		\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
e. Hinder, obstruct or impede an inspector(s)	s.99 GLCA		\$3,500 or 14 days	\$7,000 or 28 days	Suspension
f. Failure to assist an Inspector(s) when requested	s.104 GLCA		\$1,500 or 6 days	\$3,000 or 12 days	Suspension
g. Failure to comply with an imposed condition	s.91(1)(a) GLCA	Only applies to conditions <u>not</u> imposed by the Board. Sanction determined on a case-by-case basis	\$250 or 1 day to hearing	\$500 or 2 days to hearing	\$1,000 or 4 days to hearing
h. Failure to request approval prior to selling remaining products to another licensee	s.95.1(1) GLCA		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
i. Failure to provide AGLC listing related to products purchased from another licensee that is selling or closing its premises permanently	s.95.1(1) GLCA s. 5.5.5 RCSH		\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
<b>11. Online Sales and Delivery</b>					
a. Failure to obtain AGLC endorsement for online cannabis sales	s.4.14.1 RCSH		Suspension	Suspension	Suspension
b. Failure to ensure reasonable age gating of online retailer cannabis site	s.4.14.2 RCSH		\$10,000 or 40 days	\$20,000 or 80 days	Immediate suspension of online sales endorsement



<b>Violation</b>	<b>Contravention</b>	<b>Specifics of Violation</b>	<b>1<sup>st</sup> Violation</b>	<b>2<sup>nd</sup> Violation</b>	<b>3<sup>rd</sup> Violation</b>
c. Permitting online sales through a third-party operator not operated by the licensee	s.4.14.4 RCSH		Suspension of online sales endorsement until deficiency rectified and \$10,000 or 40 days	Suspension of online sales endorsement until deficiency rectified and \$20,000 or 80 days	Suspension of online sales endorsement until deficiency rectified and hearing
d. Selling more than maximum permitted amounts of cannabis in a single transaction	s.125(2) GLCR s.4.14.7 RCSH		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
e. Failure to comply with policy section pertaining to cannabis online sales	s.4.14 RCSH	1 violation	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
		2 or more violations	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days
f. Licensee's website contains promotions, marketing or advertising of illicit cannabis or have links to illicit cannabis websites	s.4.14.6 RCSH		\$2,000 or 8 days	\$4,000 or 8 days	Hearing
g. All cannabis deliveries must be performed by licensee staff or a common carrier	s.4.15.1 RCSH		\$1,000 or 4 days	\$2,000 or 8 days	\$4,000 or 16 days
h. Failure to request proof of age from a person who appears to be under 25 at the time of delivery	s.4.15.3e) RCSH		\$750 or 3 days	\$1,500 or 6 days	\$3,000 or 12 days
i. Provide or deliver cannabis to a person intoxicated by liquor or drug	s.4.15.3d) RCSH		\$5,000 or 20 days	\$10,000 or 40 days	Hearing
j. Provide or deliver cannabis to a minor	s.4.15.3d) RCSH		\$10,000 or 40 days	\$20,000 or 80 days	Hearing
k. Failure to comply with policy section pertaining to cannabis delivery service	s.4.15 RCSH	1 violation	\$250 or 1 day	\$500 or 2 days	\$1,000 or 4 days
		2 or more violations	\$500 or 2 days	\$1,000 or 4 days	\$2,000 or 8 days

**Approved by the Board on April 14, 2022**