

205 CMR 152.00: INDIVIDUALS EXCLUDED FROM GAMING AND SPORTS WAGERING

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152.01: Scope and Authority

The provisions of 205 CMR 152.00 shall provide for the establishment and maintenance of a list, and associated protocols and procedures, for exclusion of individuals from gaming in accordance with M.G.L. c. 23K, §§ 45(a) through (e) and 45(j), and sports wagering in accordance with M.G.L. c. 23N, § 13(e)(1), as well as M.G.L. c. 23K, § 45(i). Such list shall be maintained separately from those established and maintained in accordance with M.G.L. c. 23K, § 45(f) through (h) and M.G.L. c. 23N, § 13(e)(2).

152.02: Maintenance and Distribution of Exclusion List

- (1) The commission shall maintain the list of persons to be excluded from gaming and sports wagering as set forth in 205 CMR 152.00. The name and year of birth of each person on the exclusion list shall be posted on the commission's website (<http://massgaming.com/>), except for the individuals on the court ordered exclusion list pursuant to M.G.L. c. 23K, § 45(i).
- (2) The Bureau shall promptly notify each gaming licensee, and Sports Wagering Operator of the placement of an individual on the exclusion list. The notifications shall include:
 - (a) The individual's full name and all aliases the individual is believed to have used;
 - (b) A description of the individual's physical appearance, including height, weight, type of build, color of hair and eyes, and any other physical characteristics which may assist in the identification of the individual;
 - (c) The individual's date of birth;
 - (d) The effective date of the order mandating the exclusion of the individual;
 - (e) A photograph, if obtainable, and the date thereof; and
 - (f) Such other information deemed necessary by the commission for the enforcement of 205 CMR 152.00.

152.03: Criteria for Exclusion

- (1) In the commission's discretion, an individual may be placed on the exclusion list if the commission determines that the individual meets one or more of the following criteria:
 - (a) the individual has been convicted of a criminal offense under the laws of any state, tribe, or the United States that is punishable by more than six months in a state prison, a house of correction or any comparable incarceration, a crime of moral turpitude or a violation of the gaming or other wagering laws of any state, tribe, or the United States;
 - (b) the individual has violated or conspired to violate M.G.L. c. 23K or c. 23N; or violated or conspired to violate any other law, if the violation or conspiracy is in connection with gaming or sports wagering;
 - (c) the individual has a notorious or unsavory reputation which would adversely affect public confidence and trust that the gaming or sports wagering industries are free from criminal or corruptive elements;
 - (d) the individual is an associate of an individual who falls into a category identified in 205 CMR 152.03(1)(a) through (c);
 - (e) the individual's presence in a gaming establishment, sports wagering area, sports wagering facility, or maintenance of a sports wagering account, presents the potential of injurious threat to the interests of the Commonwealth in a gaming establishment, sports wagering area, sports wagering facility, or sports wagering platform, or sports wagering.

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(2) In determining whether there exists the potential of injurious threat to the interests of the Commonwealth in accordance with 205 CMR 152.03(1)(e), the commission may consider, without limitation, the following:

- (a) Whether the individual is a known cheat;
- (b) Whether the individual has had a license or registration issued in accordance with 205 CMR 134.00: *Licensing and Registration of Employees, Vendors, Junket Enterprises and Representatives, and Labor Organizations*, 205 CMR 234.00: *Sports Wagering Vendors*, 205 CMR 235.00: *Sports Wagering Occupational Licenses*, or a qualification determination made in accordance with 205 CMR 115.00: *Phase 1 and New Qualifier Suitability Determination, Standards, and Procedures*, 205 CMR 116.00: *Persons Required to Be Licensed or Qualified*, or 205 CMR 215.00: *Applicant and Qualifier Suitability Determination, Standards, and Procedures*, or a like license or registration issued by another jurisdiction, suspended or revoked or has been otherwise subjected to adverse action;
- (c) Whether the individual's egregious or repeated conduct poses a clear threat to the safety of the patrons, employees or others on or near the premises of a gaming establishment, sports wagering area, or sports wagering facility; or the individual's egregious or repeated conduct relating to sports wagering poses a clear threat to the safety of others;
- (d) Whether the individual has a documented history of conduct involving the undue disruption of gaming or sports wagering operations in any jurisdiction including, without implied limitation, attempting to corrupt or corrupting a betting outcome of a sporting event;
- (e) Whether the individual is subject to a no trespass order at any casino or gaming establishment, sports wagering area, or sports wagering facility in any jurisdiction; and
- (f) Whether, in connection with sports wagering, the individual has either:
 - 1. willfully and maliciously engaged in a knowing pattern of conduct or series of acts over a period of time directed at a specific person, which seriously alarms that person and would cause a reasonable person to suffer substantial emotional distress; or
 - 2. expressed an intent to injure the person or property of another, now or in the future; intended that the threat be conveyed to a particular person; the injury threatened, if carried out, would constitute a crime; and the threat was made under circumstances which could reasonably have caused the person to whom it was conveyed to fear that the individual had both the intention and ability to carry it out.

(3) The commission shall not base a finding to place an individual on the exclusion list on an individual's race, color, religion, religious creed, national origin, ancestry, sexual orientation, gender identity or expression, age (other than minimum age requirements), marital status, veteran status, genetic information, disability or sex.

152.04: Investigation and Initial Placement of Names on the Exclusion List

(1) The Bureau shall investigate any individual who may meet one or more criterion for inclusion on the list in accordance with 205 CMR 152.03 upon referral by the commission, the Gaming Enforcement Division of the Office of the Attorney General, a gaming licensee, a sports wagering operator, a sports governing body, or a players association. The Bureau may investigate any individual on its own initiative.

(2) If, upon completion of an investigation, the Bureau determines to place an individual on the exclusion list, the Bureau shall prepare an order that identifies the individual and sets forth a factual basis as to why the individual meets one or more criterion for inclusion on the list in accordance with 205 CMR 152.03.

- (a) The Bureau shall serve the order prepared in accordance with 205 CMR 152.04(2) upon the named individual advising them that it intends to place the individual's name on the exclusion list. The order shall also notify the individual that placement of their name on the exclusion list will result in their prohibition from being present in a gaming establishment, sports wagering area, or sports wagering facility, and from maintaining a sports wagering account; and

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(b) offer them an opportunity to request a hearing before a hearing officer to review the Bureau's order. The order shall be sent by registered or certified mail return receipt requested or by publication in a daily newspaper of general circulation for one week. The individual shall have 30 days from the date of the service of the order to request a hearing, except for notice provided by publication in a newspaper in which case the individual shall have 60 days from the last publication. Alternatively, the Bureau may provide an individual with in hand service of order in which case the individual shall have ten days from the date of service to request a hearing.

(3) If a request for a hearing is received from the individual, a hearing shall be scheduled before a hearing officer in accordance with 205 CMR 101.00: *M.G.L. c. 23K Adjudicatory Proceedings* and notice of such, including the date, time, and issue to be presented, shall be sent to the individual. The hearing shall be conducted in accordance with 205 CMR 101.02: *Review of Orders or Civil Administrative Penalties/Forfeitures Issued by the Bureau, Commission Staff, or the Racing Division*.

(4) If no request for a hearing is received within the applicable timeline provided in 205 CMR 152.04(3), the individual's name shall be placed on the exclusion list.

(5) In accordance with 205 CMR 101.00: *M.G.L.c. 23K Adjudicatory Proceedings*, a decision of the hearing officer may be appealed to the commission. A request for appeal to the commission shall not operate as a stay of the decision of the hearing officer.

152.05: Court Ordered Exclusion Pursuant to M.G.L. c. 23K, § 45(i)

(1) Upon receipt of notice from a district court that an individual has been prohibited from gaming in gaming establishments in accordance with M.G.L. c. 23K, § 45(i) and 205 CMR 152.05, the Bureau shall place the name of an individual on the exclusion list.

(2) The list of court ordered exclusions shall be maintained by the Bureau and shared with the gaming licensees.

(3) Pursuant to 205 CMR 152.07(5), the Bureau shall not remove the name of an individual from the court ordered exclusion list until ordered to do so by a court of competent jurisdiction.

152.06: Duty of Gaming or Sports Wagering Licensee

(1) Each gaming or sports wagering licensee shall ensure that it accesses and reviews the exclusion list on a regular basis and that the exclusion list is made available to employees of the gaming or sports wagering licensee in a manner designed to assist them in identifying and inhibiting excluded individuals from entering the gaming establishment, sports wagering area, or sports wagering facility, or maintaining a sports wagering account.

(2) Upon identifying any individual who has been placed on the exclusion list present in a gaming establishment, sports wagering area, or sports wagering facility, the gaming or sports wagering licensee shall immediately notify the Massachusetts State Police Gaming Enforcement Unit, the Surveillance Department, and the Security Department. The Surveillance Department shall track the individual who has been placed on the list while that individual is present in the gaming establishment, sports wagering area, or sports wagering facility and the Security Department shall coordinate with the Massachusetts State Police Gaming Enforcement Unit regarding removing the individual from the gaming establishment, sports wagering area, or sports wagering establishment.

(3) Upon determining that an individual who has been placed on the exclusion list maintains a sports wagering account or has engaged in prohibited sports wagering, a sports wagering licensee shall:

(a) Cancel any sports wagers placed by the individual and confiscate any resulting funds in accordance with 205 CMR 238.33(3);

(b) Suspend the sports wagering account used to engage in prohibited sports wagering in accordance with 205 CMR 248.17: *Account Suspension and Restoration*; and

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- (c) Notify the Director of Sports Wagering and the Bureau.
- (4) It shall be the continuing duty of a gaming or sports wagering licensee to refer to the Bureau, in writing, individuals whom it wishes to be placed on the exclusion list and to promptly notify the Bureau in writing of no trespass orders which it issues.
- (5) A gaming or sports wagering licensee shall submit a written policy for compliance with the exclusion list program for approval by the executive director. The executive director shall review the plan for compliance with 205 CMR 152.00. If approved, notice shall be provided to the commission and the plan shall be implemented and followed by the gaming or sports wagering licensee. The plan for compliance with the exclusion list program shall include, at a minimum, procedures to:
 - (a) Prevent an individual on the exclusion list from entering the gaming establishment, sports wagering area, or sports wagering facility, maintaining a sports wagering account; or engaging in prohibited sports wagering;
 - (b) Identify and coordinate with the Massachusetts State Police Gaming Enforcement Unit to eject individuals on the list from the gaming establishment, sports wagering area, or sports wagering facility if they are able to enter;
 - (c) Remove individuals on the exclusion list from marketing lists, and refrain from sending or transmitting to them any advertisement, promotion, or other direct marketing mailing pertaining to gaming or sports wagering more than 30 days after receiving notice from commission that the individual has been placed on the exclusion list;
 - (d) Prevent an individual on the exclusion list from having access to credit, cashless wagering program access, or from receiving complimentary services, check-cashing services, junket participation and other benefits from the gaming establishment, sports wagering area, or sports wagering facility, or benefits from a sports wagering account; and
 - (e) Train employees relative to the exclusion list and the license's program.
- (6) The commission may revoke, limit, condition, suspend or fine a gaming or sports wagering licensee if it knowingly or recklessly fails to exclude, or identify, or coordinate with the Massachusetts State Police Gaming Enforcement Unit to eject from its gaming establishment or sports wagering facility, any individual placed by the commission on the exclusion list; or prevent an individual on the exclusion list from maintaining a sports wagering account or engaging in prohibited sports wagering.

152.07: Petition to Remove Name from Exclusion List

- (1) An individual who has been placed on the list in accordance with 205 CMR 152.03 may petition the Bureau in writing to request that their name be removed from the list. Except in extraordinary circumstances, such a petition may not be filed sooner than five years from the date an individual's name is initially placed on the list.
- (2) The individual shall state with particularity in the petition, the reason why the individual believes they no longer satisfy one or more criterion for inclusion on the list in accordance with 205 CMR 152.03. Following an investigation, the Bureau shall prepare a written determination whether to remove the individual from the list and setting forth a factual basis as to why the individual does or does not continue to satisfy one or more of the criterion for inclusion on the list.
- (3) The individual shall have 30 days from the date of service of the Bureau's determination to request a hearing before the hearing officer in accordance with 205 CMR 101.00: *M.G.L. c. 23K Adjudicatory Proceedings*. The commission shall schedule a hearing on any properly filed petitions and provide written notice to the petitioner identifying the time and place of the hearing. Such a hearing shall be conducted in accordance with 205 CMR 101.00.
- (4) In accordance with 205 CMR 101.00: *M.G.L. c. 23K Adjudicatory Proceedings*, a decision of a hearing officer may be appealed to the commission. Removal of an individual's name from the list shall not occur until all agency appeals have been exhausted or the time for such appeals has run.

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(5) An individual who was placed on the exclusion list by virtue of an order of the district court, in accordance with M.G.L. c. 23K, § 45(i), may not petition for removal in accordance with 205 CMR 152.07.

(6) The Bureau shall promptly notify each gaming licensee and Sports Wagering Operator of the removal of an individual from the exclusion list.

152.08: Forfeiture of Winnings

(1) An individual who is on the exclusion list shall not collect any winnings or recover losses arising as a result of prohibited gaming or sports wagering, and such winnings shall be forfeited to the commission. To the extent that the winnings arise from gaming or a source which cannot be determined, they shall be deposited into the Gaming Revenue Fund pursuant to M.G.L. c. 23K, §§ 45(j) and 59. To the extent that the winnings arise from prohibited sports wagering, they shall be deposited into the Sports Wagering Fund established by M.G.L. c. 23N, § 17.

(2) Upon verification that an individual:

(a) who is present in its gaming establishment, sports wagering area, or sports wagering facility is on the exclusion list, a gaming or sports wagering licensee shall take steps to:

1. In accordance with 205 CMR 152.06(2) and 205 CMR 152.06(3), coordinate with the Massachusetts State Police Gaming Enforcement Unit to remove the individual from the gaming establishment, sports wagering area, or sports wagering facility; and
2. Notify the Bureau who shall lawfully confiscate, or cause to be refused to pay any winnings or things of value obtained from engaging in a gaming or prohibited sports wagering transaction including:
 - a. gaming chips, gaming plaques, slot machine tokens and vouchers, gaming vouchers, and sports wagering vouchers;
 - b. any electronic gaming device or slot machine jackpot won by the individual; and
 - c. any cashable credits remaining on an electronic gaming device or slot machine credit meter played by the individual.
3. Deliver any winnings or things of value obtained from the individual to the cashier's cage, and transmit the cash value to the commission for deposit in the Gaming Revenue Fund or Sports Wagering Fund in accordance with 205 CMR 152.08(1).

(b) maintains a sports wagering account or has engaged in prohibited sports wagering, a sports wagering licensee shall take steps to:

1. Cancel any wagers and confiscate resulting funds in accordance with 205 CMR 238.33(1) and (3);
2. Suspend the sports wagering account used to engage in prohibited sports wagering in accordance with 205 CMR 248.17: *Account Suspension and Restoration*; and
3. Notify the Director of Sports Wagering and the Bureau.

(3) If an individual wishes to contest the forfeiture of winnings or things of value, the individual may request a hearing in writing with the commission within 15 days of the date of the forfeiture. The request shall identify the reason why the winnings or things of value should not be forfeited. A hearing shall be conducted in accordance with 205 CMR 101.00: *M.G.L. c. 23K Adjudicatory Proceedings* to determine whether the subject funds were properly forfeited in accordance with 205 CMR 152.08.

152.09: Sanctions against a Gaming or Sports Wagering Licensee

(1) Grounds for Action. A gaming or sports wagering license may be conditioned, suspended, or revoked, and/or the gaming or sports wagering licensee assessed a civil administrative penalty based on a finding that a licensee has:

(a) knowingly or recklessly:

1. failed to exclude or eject from its premises any individual placed on the list of excluded persons; or

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2. permitted an individual placed on the list of excluded persons to maintain an account on a sports wagering platform or engage in prohibited sports wagering. Provided, it shall not be deemed a knowing or reckless failure if an individual on the exclusion list shielded their identity or otherwise attempted to avoid identification while present at a gaming establishment, sports wagering area, or sports wagering facility, or evaded the commercially reasonable standards for sports wagering identity verification required by 205 CMR 248.04(4).
 - (b) failed to abide by any provision of 205 CMR 152.00, M.G.L. c. 23K, § 45, M.G.L. c. 23N, § 11(e)(1), the gaming or sports wagering licensee's approved written policy for compliance with the exclusion list program pursuant to 205 CMR 152.06(5), or any law related to the exclusion of patrons in a gaming establishment or from sports wagering.
- (2) Finding and Decision. If the Bureau finds that a gaming licensee has violated a provision of 205 CMR 152.09(1), it may issue a written notice of decision recommending that the commission suspend, revoke, and or condition said gaming licensee. Either in conjunction with or in lieu of such a recommendation, the Bureau may issue a written notice assessing a civil administrative penalty upon said licensee. Such notices shall be provided in writing and contain a factual basis and the reasoning in support the decision including citation to the applicable statute(s) or regulation(s) that supports the decision.
- (3) Civil Administrative Penalties. The Bureau may assess a civil administrative penalty on a gaming licensee in accordance with M.G.L. c. 23K, § 36 for a violation of 205 CMR 152.09(1).
- (4) Review of Decision. A recommendation made by the Bureau to the commission that a gaming license be conditioned, suspended or revoked shall proceed directly to the commission for review in accordance with 205 CMR 101.00: *M.G.L. c. 23K Adjudicatory Proceedings*. If the gaming licensee is aggrieved by a decision made by the Bureau to assess a civil administrative penalty in accordance with 205 CMR 152.09(2) and (3), it may request review of said decision in accordance with 205 CMR 101.00.
- (5) Sports Wagering Operators. Discipline of a sports wagering operator for a violation of 205 CMR 152.09(1) shall follow the process set out in 205 CMR 232.00: *Discipline of Sports Wagering Operators and Other Licensees, and Registrants*.

REGULATORY AUTHORITY

205 CMR 152.00: M.G.L. c. 23K, § 4; M.G.L. c. 23N, §§ 4 and 13(e)(1).