

**Alcohol and Gaming
Commission of Ontario**
90 Sheppard Avenue East
Suite 200
Toronto ON M2N 0A4



AGCO

Alcohol and Gaming
Commission of Ontario

Gaming Notification Matrix

Version 1.6

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About this document

This document is maintained by the Regulatory Assurance Branch, Operations Division

Version history

Version	Date	Changes
1.3	27 Oct-2020	<p>Definitions: Further guidance provided regarding timelines for “immediate”</p> <ul style="list-style-type: none">• New notifications include the following:<ul style="list-style-type: none">▪ I 2B anti money laundering▪ I 3. additional instructions provided for submissions▪ I 7B added for self-excluded individuals▪ I 14 COVID 19 – individual positive test▪ S 9 I periodic reports for self-excluded individuals – casino only▪ S 11A&B regarding pandemic plans and self-assessments
1.4	16 Nov-2020	<p>Changes include the following:</p> <ul style="list-style-type: none">▪ I5 additional guidance for iGaming sites, unforeseen closures.▪ I7B Guidance has been changed to provide instructions specifically for self-excluded individuals on iGaming sites and the gaming floor.▪ I13 Notification removed.▪ S6B modified to include terminations that are both voluntary and involuntary▪ S7 Lottery line of business separated from other lines to accommodate reporting requirements for organizations charts.▪ S9I iGaming quarterly self-excluded report removed as a requirement.

Version	Date	Changes
1.5	4 April 2022 (suspended after release; reverted back to version 1.4)	<p>New Notifications include the following:</p> <ul style="list-style-type: none"> ■ I2C & I2D anti money laundering, additional notification requirements ■ I7C self-excluded individuals accessing and/or playing ■ S12A sports betting offerings made available – report ■ S12B electronic gaming machine payout monitoring report <p>Changes include the following:</p> <ul style="list-style-type: none"> ■ removal of all iGaming notifications and references, iGaming is introducing its own notification matrix April 4, 2022 ■ I2A additional guidance added for sports betting ■ I5 additional guidance for emergencies site closure and reopening ■ I11 & I14 removed ■ S11A & S11B removed ■ S9I removed
1.6	8-Aug-2023	<p>New Notifications include the following</p> <ul style="list-style-type: none"> ■ S13A Gaming Management System Software Authentication ■ S13B Gaming Management System Integrity and Connectivity Reliability <p>Changes include the following:</p> <ul style="list-style-type: none"> ■ I2C additional guidance added regarding scope of notification ■ I2D applies to OLG not Casino ■ I5 revised to clarify requirements ■ I7C revised to clarify requirements ■ I12 threshold for reporting increased from \$10,000 to \$100,000 ■ S12B revised to clarify notice timeframe

Purpose of this document

The purpose of this document is to list the minimum obligations of all Operators and Gaming-Related Suppliers (GRS) operating in Ontario to notify the Alcohol & Gaming Commission of Ontario (AGCO).

These notification requirements may not be comprehensive and do not supersede the *Gaming Control Act*, applicable Regulations, the *Registrar's Standards for Gaming*, the *Registrar's Standards for Gaming: Lottery Sector*, Terms of Registration, or any other AGCO requirements.

Additionally, in accordance with the *Registrar's Standards for Gaming* and the *Registrar's Standards for Gaming: Lottery Sector*, Standard 1.45, Operators and Gaming-Related Suppliers shall comply with *Technical Standards* issued by the Registrar. This includes any notifications, approvals and / or regulatory submissions defined by the *Technical Standards*.

The minimum notification obligations listed herein are not intended to negate ongoing, open and transparent communication between the Operators, GRS, and the AGCO. This document represents a shift consistent with the Standards-Based Approach and away from traditional prescriptive notification scenarios. Operators must use sound judgment and discretion to determine circumstances requiring notification.

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

Incident Notifications: notifications generated as a result of an event occurring at/or involving the gaming site.

Regulatory Submissions: submissions generated as a result of defined submission requirements.

In the case of any technical issues that limit your ability to submit notifications through iAGCO, all notification submissions should be submitted by email to **notifications@agco.ca**.

Definitions

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

Applies to: The line(s) of business to which the incident notification or regulatory submission is applicable to.

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

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

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

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

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

iAGCO: The web-based service delivery application used by Operators and Gaming Related Suppliers for all registration and notification submissions.

OPP – IEB on duty member: Only applicable to the Casino line of business, and is for the purposes of notifying the OPP Investigations and Enforcement Bureau (IEB). Notification should be made by phone initially. If there is no OPP IEB member on duty then notification should be made via email. Please use the telephone number or email provided by the OPP GIU. The OPP IEB may provide additional instruction / direction to the Operator at the time of notification. The Operator is obliged to comply with such requests, such as the retention of additional facts, details, video evidence or the like. All efforts shall be made by Casino personnel to identify and obtain information regarding the particular patrons / players / employees involved.

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

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

24 Hours: Within 24 hours of being made aware.

3 Business Days: Within 3 business days of being made aware.

5 Business Days: Within 5 business days of being made aware.

Within 24 Hours of Implementation: At a minimum, notification is required 24 hours after implementation has occurred.

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

60 Days in Advance, or as soon as aware: Notification is required 60 days in advance of the event, or as soon as the individual responsible for the notification is aware; whichever comes first.

Contact TLSB: Contact the AGCO Technical Laboratory & Services Branch at **AGCO_iGaming_Lab@agco.ca** for submission requirements and submission.

Operator: A person who operates a gaming site, and includes OLG.

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

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

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

Incident Notifications

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
I1	Incident Reports – Integrity & Public Confidence	Casino cGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 1.17, Requirement 1	Any incident or matter that may affect the integrity or public confidence in gaming, including any actions taken to prevent similar incidents from occurring in the future.	Immediate	OPP – IEB on duty member (casino only) iAGCO
I2A	Suspicious Behaviour, Cheating at Play, and Unlawful Activity	Casino cGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 6.1, Requirement 4 Registrars Standards for Gaming: Standard 6.2	iAGCO Description: Any Gaming or Non-Gaming related suspicious behaviour, cheating at play and/or unlawful activities. For Sports Betting: <ul style="list-style-type: none"> When the Operator or Independent Integrity Monitor (IIM) identifies suspicious betting activity. When a non-compliant bet offering is made available by the Operator. 	Immediate	OPP – IEB on duty member (casino only) iAGCO
I2B	Money Laundering	Casino	Registrars Standards for Gaming: Standard 6.1 6.2	Any Gaming or Non-Gaming related suspicious behaviour and/or unlawful activities, related to the laundering of money, including suspicious transaction reports (STR).	Immediate	OPP – IEB on duty member (casino only) iAGCO
I2C	Money Laundering – Interview/Exclusion/Trespass	Casino	Registrars Standards for Gaming: Standard 6.3	Any planned interviews, trespasses, exclusions, bans or limitations that may be placed on a patron as the result of a risk assessment. Additional Instructions: Notification should only be provided for mitigating controls actively implemented once an AML risk has been identified.	Prior to implementation	OPP: AML Unit Email Notifications.iGaming.IEB@opp.ca Note: This is the correct email for land-based casinos
I2D	Money Laundering – FINTRAC	OLG	Registrars Standards for Gaming: Standard 6.2, Requirement 1	Notification by OLG of Suspicious Transaction Reports filed with FINTRAC by all gaming sites and OLG in the preceding month (monthly batch notification to OPP).	Monthly	Secure File Transfer Protocol (SFTP) to OPP. AGCO: AGCO SharePoint File Exchange

Incident Notifications

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
13	Gaming Systems and Supplies, Integrity or Security	Casino cGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 4.6, Requirement 2	<p>Any suspected problem with the integrity or security of the gaming system or gaming supplies, and/or sensitive data.</p> <p>Additional instructions:</p> <p>Notification should only be provided for suspected problems that pertain to integrity or security of gaming systems, gaming supplies, and/or sensitive data (e.g., cash out failures, stolen bills, game freezes resulting in a loss of win).</p> <p>Notification should not be provided for other types of problems such as operational matters that pertain to gaming systems, gaming supplies, and/or sensitive data (gaming supplies not turning on or not working, loss of server connectivity without impact on game outcomes, etc).</p>	Immediate	iAGCO
14	Requirement removed October 27, 2020					
15	Emergencies, Evacuation and / or Site Closure	Casino cGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 1.17 Standard 5.6	Any life-threatening emergency where first responders (Local Police, Fire and or Ambulance) are called to the gaming site only, including any incident that requires evacuation and/or site closure of part or of all the gaming site regardless of cause, or any incident that could cause public or personal life-threatening injuries or result in a significant loss or damage of gaming-related assets.	Immediate	<div style="text-align: center;">OPP – IEB on duty member (casino only)</div> <hr/> <div style="text-align: center;">iAGCO</div>
16	Unattended Children	Casino cGaming	Registrar’s Standards for Gaming: Standard 5.5	All occurrences of unattended children.	Immediate	<div style="text-align: center;">OPP – IEB on duty member (casino only)</div> <hr/> <div style="text-align: center;">iAGCO</div>

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
I7A	Prohibited Individuals Accessing and/or Playing (EXCEPT Self-Excluded Individuals – see next item)	Casino cGaming Lottery	Registrars Standards for Gaming/Lottery: Standard 1.17 Standard 3.2 Registrars Standards for Gaming: Gaming Sector: Standard 3.1	Any instance of permitted access and/or permitted play by any prohibited person. (Other than self-excluded individuals— see 7B)	Immediate	OPP – IEB on duty member (casino only)
						iAGCO
I7B	Self-Excluded Individuals Accessing and/or Playing	Casino cGaming	Registrars Standards for Gaming/Lottery: Standard 3.1, requirement 2	Any instance of self – excluded individuals on the gaming floor in excess of 40 minutes.	Immediate	iAGCO
I7C	Self-Excluded Individuals Accessing and/or Playing	Casino	Registrars Standards for Gaming: Standard 3.1, requirement 2	Any instance of self – excluded individuals on the gaming floor when in combination the individual has violated both their Self-Exclusion Order and their Indefinite Trespass Notice that was issued by the Operator/site as a result of a self – exclusion violation only. Additional Instructions: For clarification I7C is an OPP notification. I7B is an AGCO notification and must also be submitted if it is applicable to the description.	Immediate	OPP – IEB on duty member (casino only)
I8	Incident in Other Jurisdictions	Casino cGaming	Terms of Registration	Regulatory, criminal, or other disciplinary action, including ongoing investigations, taken in other jurisdictions. Includes corporate officers and directors.	5 Business days	iAGCO
I9	Requirement removed October 27, 2020					
I10	Incident Reports – Non-Compliance	Casino cGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 1.17, Requirement 2	Any incident of non-compliance with the law or Standards and Requirements including any actions taken to correct the cause of non-compliance.	24 hours	iAGCO
I11	Requirement removed April 4, 2022					
I12	Insider Wins	Lottery	Registrar’s Standards for Gaming: Lottery Sector: Standard 4.13, Requirement 2	Any instance of an Insider Win equal to or greater than \$100,000.	Immediate	iAGCO

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
I13	Requirement removed November 16, 2020					
I14	Requirement removed April 4, 2022					

Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
S1	Gaming Supplies / Gaming System: Installation or Change	Casino cGaming	Registrars Standards for Gaming: Standard 4.6	For casino and cGaming sites that have transitioned to GMS-15, this reporting item does not apply. For casino and cGaming sites that have NOT transitioned to GMS-15 – continue to report any new installation of or change to gaming equipment or gaming systems. <i>Data file required.</i>	Within 24 hours of implementation	iAGCO
S2	Requirement removed February 1, 2019					
S3	Approval of Gaming Systems and Gaming Supplies	Lottery Casino cGaming	Registrars Standards for Gaming Standard 4.5	All gaming systems and gaming supplies, including any subsequent modifications shall be submitted to the Registrar for assessment and approval prior to being provided for implementation at any gaming site, or being made available for play.	Contact TLSB AGCO-Gaming-Lab-Submissions@agco.ca	iAGCO
S4	Approval of Rules of Play	Casino cGaming Lottery	Registrar's Standards for Gaming/Lottery Standard 4.2	Rules of play, including any subsequent modifications.	Prior to Implementation	iAGCO
S5	Potential Interruption to Operations	Casino cGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.17	Anything that could cause a disruption of operations in the future, including expiry dates for any contracts with bargaining agents representing gaming employees, or termination of lease.	60 Days in Advance, or as soon as aware (whichever is first)	iAGCO
S6A	Employees with Gaming Registrations	Casino cGaming Lottery	<i>Terms of Registration</i>	Any Operator or Supplier that employs a gaming assistant must notify the Registrar in cases of resignation or termination for cause involving real or suspected criminal activity related to integrity of individual. Includes investigative suspension.	Immediate	OPP – IEB on duty member (casino only)
S6B				Any Operator or Supplier that employs a gaming assistant must notify the Registrar in cases of resignations, and all voluntary and involuntary terminations where there is NO real or suspected criminal activity related to integrity of individual.		5 Business Days

Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
S7	Operator Organizational Chart	Lottery	Registrar's Standards for Lottery: Standard 1.10, Requirement 3	Operators must provide the Registrar with an organizational chart showing key reporting lines and relationships and shall ensure that it remains up to date.	5 Business Days	iAGCO
S8	Operator Control Activities	Casino cGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.2, Requirement 2	Formal control activities outlining substantial changes to the control environment that have been independently assessed.	Prior to Implementation	iAGCO
S9B	Reports and Meeting Minutes	Casino cGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.1, Requirement 1 Standard 1.14 Standard 1.17 Standard 5.8	Internal audit reports.	Quarterly	iAGCO
S9C				Reports from external auditors and/or consultants on internal control assessments, due diligence, and other regulatory compliance reviews.	30 days after issuance	
S9D				Audited financial statements and auditor's report.	90 days after year end	
S9E				Meeting minutes from all Board of Directors meetings, audit committee meetings, and compliance committee meetings.	Quarterly	
S9F				All reports related to Retailer Location Closures, Temporary Suspensions, and Advance Notice of Suspensions: <i>Lottery only</i> .	Daily	
S9G				Retailer Policy Manual Violations and Penalty Reports: <i>Lottery only</i> .	Weekly	
S9H				Active, pending, and suspended retailers: <i>Lottery only</i> .	Monthly	
S9I				Removed April 4, 2022		
S10A	Officers, Directors and Partners	Casino cGaming Lottery	<i>Gaming Control Act, 1992</i> c. 24, s. 4 (3). Terms of Registration	Any change in the officers or directors of the corporation or any change in the membership of the partnership.	5 Business Days Registrar Approval Required	iAGCO
S10B			Registrar's Standards for Gaming/Lottery: Standard 1.1 Requirement 2	Criminal charges, convictions or civil actions related to the integrity of individual.	5 Business Days	iAGCO
S11A	Removed April 4, 2022					
S11B	Removed April 4, 2022					

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
S12A	Sports Betting Offerings Made Available - Report	Casino Lottery	Registrar's Standards for Gaming/Lottery: Standard 4.19, Requirement 8	<p>Operators in casino and lottery who offer sport and event betting shall provide reports to the AGCO that include the following:</p> <ol style="list-style-type: none"> 1. The governing body for all sports on which bets were made available 2. All nonsporting events on which bets were made available. 3. For all bets cancelled due to potential sport or event integrity, information about the events that had bets canceled, the number of bets canceled, the monetary value of bets canceled. <p>Guidance: Governing body refers to the lowest level of governing body of a sport under which the event is being conducted where multiple levels exist. For example: A regional soccer authority rather than FIFA.</p> <p>This includes both pre-game and in-game bets offerings.</p>	Monthly	iAGCO
S12B	Electronic Gaming Machine Payout Monitoring Report	Casino	Registrar's Standards for Gaming/Lottery: Standard 4.6, Requirement 3	Casino Operators shall provide quarterly reports to the AGCO regarding Electronic Gaming Machine payout monitoring and any associated actions taken by the Operator.	Quarterly, within 15 business days of the end of the quarter	iAGCO
S13A	Gaming Management System Software Authentication	Casino	Registrar's Standards for Gaming/Lottery: Standard 4.6, Requirement 3	Provide report(s) that indicate the critical software comprising the regulated components of the Gaming Management System (GMS) have been validated to confirm authenticity.	Quarterly and at the time of GMS software upgrades	Contact TRC AGCO-Gaming-Lab-Submissions@agco.ca
S13B	Gaming Management System Integrity and Connectivity Reliability	Casino	Registrar's Standards for Gaming/Lottery: Standard 4.6, Requirement 3	Provide report(s) that indicate the results of monitoring of the integrity of the Gaming Management System (GMS), as well as the reliability of connectivity with the GMS.	Quarterly	Contact TRC AGCO-Gaming-Lab-Submissions@agco.ca