

Casino Control (Internal Controls) Regulations 2013

Table of Contents

Enacting Formula

Part I preliminary

1 Citation and commencement

2 Definitions

Part II INTERNAL CONTROLS requirements and approval of specified internal controls

3 Appointment of independent officer

4 Internal controls requirements for casino operator

5 Licensed international market agent to implement system of internal controls

6 Internal controls requirements for licensed international market agent

7 Specified internal controls to be approved by Authority

8 Approval of specified internal controls

9 Change to approved internal controls

10 Amendment of internal controls requirements by Authority

Part III REGULATORY AND ENFORCEMENT POWERS

11 Duties of licensed special employee or licensed international market agent representative in relation to internal controls

12 Power of inspector to stop game or licensee's operations until corrective action taken

13 Power to give directions and take disciplinary action

No. S 59

CASINO CONTROL ACT
(CHAPTER 33A)

CASINO CONTROL
(INTERNAL CONTROLS)
REGULATIONS 2013

In exercise of the powers conferred by sections 110B and 200 of the Casino Control Act, the Casino Regulatory Authority of Singapore, with the approval of the Minister for Home Affairs, hereby makes the following Regulations:

PART I

PRELIMINARY

Citation and commencement

1. These Regulations may be cited as the Casino Control (Internal Controls) Regulations 2013 and shall come into operation on 31st January 2013.

Definitions

2. In these Regulations, unless the context otherwise requires —

“approved internal controls”, in relation to a licensee, means the specified internal controls for the time being approved by the Authority for that licensee;

“independent officer”, in relation to a licensee, means an independent officer appointed by that licensee under regulation 3;

“internal controls” means controls, policies, procedures and processes for the operations of a casino or operations relating to casino marketing arrangements, as the case may be;

“internal controls requirements” —

- (a) in relation to a casino operator, means the internal controls requirements referred to in regulation 4; and
- (b) in relation to a licensed international market agent, means the internal controls requirements referred to in regulation 6;

“licence” means a casino licence or an international market agent licence, wherever applicable, and “licensee” means the holder of such a licence;

“licensee’s operations” means —

- (a) in relation to a casino operator, the operations of a casino; and
- (b) in relation to a licensed international market agent, the operations relating to casino marketing arrangements;

“specified internal controls” has the same meaning as in regulation 7.

PART II

INTERNAL CONTROLS REQUIREMENTS AND APPROVAL OF SPECIFIED INTERNAL CONTROLS

Appointment of independent officer

3. Every licensee or applicant for a licence shall appoint from among its employees an internal auditor or a compliance officer who is not involved in the establishment or implementation of any of its internal controls to be an independent officer for the purposes of these Regulations.

Internal controls requirements for casino operator

4.—(1) For the purposes of section 138(1) of the Act, the internal controls requirements applicable to a casino operator shall be the Internal Controls Code for Casino Operators issued by the Authority to all casino operators, as amended from time to time, subject to such modification or waiver as may be made or allowed by the Authority under paragraph (2).

(2) The Authority may, on the application of a casino operator or an applicant for a casino licence, modify or waive any provision of the Internal Controls Code for Casino

Operators as it applies to that casino operator or applicant, subject to such conditions as the Authority may impose.

Licensed international market agent to implement system of internal controls

5. A licensed international market agent shall establish and implement a system of internal controls for its operations in relation to casino marketing arrangements which satisfies the internal controls requirements applicable to it.

Internal controls requirements for licensed international market agent

6.—(1) The internal controls requirements applicable to a licensed international market agent shall be the Internal Controls Code for International Market Agents issued by the Authority to all licensed international market agents, as amended from time to time, subject to such modification or waiver as may be made or allowed by the Authority under paragraph (2).

(2) The Authority may, on the application of a licensed international market agent or an applicant for an international market agent licence, modify or waive any provision of the Internal Controls Code for International Market Agents as it applies to that licensed international market agent or applicant, subject to such conditions as the Authority may impose.

Specified internal controls to be approved by Authority

7.—(1) The Authority may, by notice in writing, require a licensee or an applicant for a licence to submit to the Authority for approval of such part or parts of the licensee's or applicant's system of internal controls as the Authority may specify in the notice (referred to in these Regulations as "specified internal controls").

(2) A licensee shall not conduct or permit the conduct of the licensee's operations unless the approval of the Authority has been obtained in writing for all of the specified internal controls relating to those operations.

Approval of specified internal controls

8.—(1) A submission to the Authority for approval of the specified internal controls may be made by a licensee or by an applicant for a licence, and shall comprise the following documents:

- (a) a description of the specified internal controls in the form prescribed by the Internal Controls Code for Casino Operators or the Internal Controls Code for International Market Agents, as the case may be;
- (b) a statement by the Board of Directors of the licensee or the applicant that

the specified internal controls of the licensee or the applicant, as the case may be, satisfy the internal controls requirements applicable to the licensee or the applicant if a licence is issued thereto;

- (c) a statement by an independent officer of the licensee or the applicant that —
- (i) the specified internal controls of the licensee or the applicant, as the case may be, satisfy the internal controls requirements applicable to the licensee or the applicant if a licence is issued thereto; and
 - (ii) the licensee or the applicant has adequate systems and processes in place to implement the specified internal controls; and
- (d) such other documents as the Authority may require in that particular case to determine whether the specified internal controls satisfy the internal controls requirements applicable to the licensee or the applicant.

(2) The Authority may, on the application of a licensee or an applicant for a licence, modify or waive the requirements under paragraph (1) in any particular case.

(3) The Authority shall not approve any specified internal controls submitted by a licensee or an applicant unless it is of the opinion that the specified internal controls satisfy or will satisfy all the internal controls requirements applicable to the licensee or the applicant.

(4) The Authority may —

- (a) approve all or part of the specified internal controls submitted by a licensee or an applicant subject to such conditions as the Authority may impose; or
- (b) reject all or part of the specified internal controls submitted by a licensee or an applicant if any of the specified internal controls do not satisfy any of the internal controls requirements applicable to the licensee or applicant.

(5) A licensee shall ensure that all approved internal controls are implemented in accordance with the approval of the Authority and such conditions as may be imposed under paragraph (4)(a).

Change to approved internal controls

9.—(1) A licensee which intends to change any approved internal controls (other than a change required by the Authority under regulation 10) must apply to the Authority for approval of the proposed change at least 30 days before the effective date of the