

INDEX

40 RECOMMENDATIONS

- Definition, x
- Operation, 28-29

ACCOUNTS

- Casino accounts, 60-61
- Compliance Manual, 71
- Extension of Credit, 61
- Records, 60-61

ACRONYMS

- Glossary, ix

ADMINISTRATIVE MONETARY PENALTIES

- see* AMPs

AML

- anti-money laundering defined, ix
- gaming, 27
- history, 28-31
- see also* MONEY LAUNDERING

AMPs (Administrative Monetary Penalties)

- Compliance Manual 576
- Non-compliance, offences and penalties 64-65
- Preventative Compliance 69-70
- Violations 65

ANTI-MONEY LAUNDERING

- See AML

ASCERTAINING IDENTITY

- See CDD, RECORDS

AUDIT

- see* BIENNIAL INDEPENDENT REVIEW
- see* FINTRAC

BETTING

Offence, 11
see also BETTING HOUSE

BETTING HOUSE

Offence, 9-10

BIENNIAL INDEPENDENT REVIEW

General, 81-83, 499-501
see also FINTRAC

BLACK MARKET PESO EXCHANGE

Definition (BMPE) , ix

BOOKIES

Offence, 11-12

BOOK-MAKING

Offence, 11

CARIN

Definition, ix

CASINO

Definition, 38

CASINO ACCOUNTS

see ACCOUNTS

CCO (Chief Compliance Officer)

Casino, 39
Policies/procedures, 78-79
Role, 76-78, 475-476

CDD (Customer Due Diligence)

Ascertaining Identity, 83-84
Ascertaining Identity — records, 60
Credit File Method, 55

INDEX

Customer identification — general, 52

Determining Identity, 52

Dual Process method, 56-57

Exceptions, 53-54

General, 52

Government File Method, 55

Government Issued Photo Identification Method, 54-55

Methods of identification, 54

Single Process Method, 54

Third Party Determination, 62-63

When Required, 52-53

CFT

Combating the financing of terrorism definition, ix

see also TERRORISM

CHEAT AT PLAY

Offence, 15

CHIEF COMPLIANCE OFFICER

see CCO

COMBATTING THE FINANCING OF TERRORISM

see CFT

COMMON BETTING HOUSE

Offences, 9-10

COMMON GAMING HOUSE

Offences, 9-10

COMPLIANCE OFFICER

see CCO

COMPLIANCE PLAN

Casinos, 39-40

Compliance Officer (CCO), 76-78

Core elements, 71

CANADIAN ANTI-MONEY LAUNDERING LAW: GAMING SECTOR

Policies and procedures, 78-79
Sample plan, 561

CRIMINAL CODE

Betting, 11
Book making, 11
Bookies, 11-12
Cheat at play, 15
Conduct and manage, 15-23
Exceptions, 15-25
Games of chance, 12-14
Gaming regulation, 8

History, 7-8
International cruise ships, 23-25
Keeping common gaming or betting house, 9-10
Lotteries, 12-14
Offences, 3-4, 9
Pari-mutuel betting, 23-25
Pool selling, 11
Provincially Regulated gaming, 15-23
Social clubs, 23-25

CRUISE SHIPS

see INTERNATIONAL CRUISE SHIPS

CUSTOMER DUE DILIGENCE

see CDD

CUSTOMER IDENTIFICATION

see CDD

EFT (Electronic Funds Transfer)

Compliance manual, 577
Funds remitted or transmitted, 62
Information, 49
Reporting, 47-48
SWIFT defined, xi
SWIFT role, 47-48
Time for Reporting, 49

INDEX

EGMONT GROUP

Defined, x

EXTENSIONS OF CREDIT

see ACCOUNTS, RECORDS

FATF

Definition, x

Risk-based AML, 72-73

Role, 28-31

FINANCIAL ACTION TASK FORCE

see FATF

FINTRAC

AMPs, 64-67

Compliance manual, 567-568

Criminal penalties, 64-65, 67-69

Definition, x

Examination, 86-90

History, 30-31

Preventative Compliance , 69-70

Violations, 36, 65-67

FIU

see FINTRAC

FOREIGN EXCHANGE

Compliance Manual, 576

Records, 61-62

FORTY RECOMMENDATIONS

see 40 Recommendations at start of index

FUNDS REMITTED OR TRANSMITTED

see EFT

FX

CANADIAN ANTI-MONEY LAUNDERING LAW: GAMING SECTOR

see FOREIGN EXCHANGE

G-7

Defined, x
Role, 28-31

GAMES OF CHANCE

Offence, 12-14

GAMING

Definition, 8
Provincially regulated, 15-23
US Industry, 25-26

HORSE RACING

see PARI-MUTUEL

INTERNATIONAL CRUISE SHIPS

Exemption, 23-25

KEEPING A COMMON GAMING OR BETTING HOUSE

Offence, 9-10

LCDR (Large Casino Disbursement Report)

Casinos, 60, 47
Compliance Manual, 572
Records, 60

LCTR (Large Cash Transaction Report)

Casinos, 59
Compliance Manual, 570-571 and 576
Definition, 41-42
Information to be reported, 42-43
Records, 59
Time for reporting, 43

LOTTERIES

INDEX

Compliance — compliance manual, 566
Offence, 12-14
Provincial Exemptions/exceptions, 14-15, 15-23

METHOD OF REPORTING

FINTRAC, 51-52

MONEY LAUNDERING

Definition, x, 2, 31-33
Integration, 2, 31-33
Layering, 2, 31-33
Offence, 31-33
Placement, 2, 31-33

NON-COMPLIANCE, OFFENCES AND PENALTIES

AMPs, 64-67
Criminal liability, 64-65, 67-69
Discussion, 64-65
Preventative compliance, 69-70

OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS

see OSFI

ONGOING MONITORING

Casino, 58

OSFI (Office of the Superintendent of Financial Institutions)

Casinos, 36, 50

PARI-MUTUEL BETTING

Definition, x-xi
Exemptions, 23-25

PCMLTFA

Application, 64-65
Definition, xi, 4-6
History, 28-31

CANADIAN ANTI-MONEY LAUNDERING LAW: GAMING SECTOR

POOL SELLING

Offence, 11

RECORDS

Ascertaining identity, 60
Casinos, 58-59
Extensions of credit, 61
Foreign exchange, 61-62
Large Cash Disbursement Transactions, 60
Large Cash Transactions, 59
Policies and procedures, 78-79, 85-86
Retention of records, 64, 85-86
Suspicious Transactions, 59-60
Third Party Determination, 62-63

REGULATIONS IMPLEMENTING UN RESOLUTIONS
RESPECTING AL-QAIDA AND THE TALIBAN

see UNAQTR

REGULATIONS IMPLEMENTING THE UN RESOLUTION ON
THE SUPPRESSION OF TERRORISM

see RIUNRST

REMITTANCES

Se EFT

REPORTING

Policies and procedures, 78-79
Requirements, 41
Transactions, 84-85

RISK ASSESSMENTS

Casinos, 40
Conducting, 74-76
Defined, 71-72

RIUNRST (Regulations implementing the UN resolution on the
suppression of terrorism)

Casinos, 35-36

INDEX

SAFE HARBOUR FOR EMPLOYEES

Compliance Manual, 579

SOCIAL CLUBS

Exemption, 23-25

SPECIAL MEASURES

Casino, 57-58

STR (Suspicious Transaction Report)

Casinos, 59-60
Confidentiality, 46
Definition, 43
Compliance manual, 571
Indicators, 43-45
Records, 59-60
Time for reporting, 46

SWIFT

see EFT

TF (TERRORISM FINANCING)

Definition, xi, 4-6, 27-28, 34-36
Terrorism Property reporting — compliance manual, 572-573
see also RIUNRST and UNAQTR

THIRD PARTY DETERMINATION

see CDD, RECORDS

THREE CARD MONTE

Definition, xi
Offence, 12

TRAINING

Discussion, 79-81

TRANSMITTED FUNDS

CANADIAN ANTI-MONEY LAUNDERING LAW: GAMING SECTOR

see EFT

UNAQTR — (regulations implementing UN resolutions respecting Al-Qaida and the Taliban)
Casinos, 34-36

US GAMING
Comparison, 25-26

WORLD BANK
Defined, xi