

Personal licences – regulatory decisions

There are two types of personal licence which are currently used in the gambling industry. These are:

Personal management licence (PML)

Applies to **all sectors of the gambling industry** and is held by people occupying management positions in charge of overall strategy and delivery of gambling operations, financial planning, control and budgeting, marketing and commercial development, regulatory compliance and gambling-related IT provision and security.

Personal functional licence (PFL)

Applies to the **casino industry only**, for individuals who perform any function which enables them to influence the outcome of gambling relating to the receiving or paying of money in connection with gambling. This licence is specific to the person who is granted it.

The Gambling Commission has the power to apply the following sanctions to personal licences, following review:

- warning
- imposing additional conditions or amending existing ones
- financial penalty (only in the event a licence condition is breached)
- suspension
- revocation.

In this table, we publish the names of individuals whose licences have lapsed, been revoked, forfeited, expired, suspended or surrendered in the last three years only.

The regulatory sanctions are set out below, in date order.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Roger Edward Parkes	PML	Warning	21 April 2021	<p>Following a licence review, the Commission decided to issue Mr Roger Parkes with a warning under section 117(1)(a) of the Gambling Act 2005 (the Act).</p> <p>The reason for this decision was because, as a Personal Management Licence holder employed by Betway Limited responsible for regulatory compliance, Mr Parkes failed to take all reasonable steps to ensure compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings.</p> <p>In reaching our decision we concluded that Mr Parkes was not solely accountable for the failings within the business.</p> <p>Mr Parkes has been open and transparent throughout our engagement with him.</p>
Richard Howard Akitt	PML	Warning	3 February 2021	<p>Following a licence review, the Commission decided to issue Mr Richard Akitt with a warning under section 117(1)(a) of the Gambling Act 2005 (the Act).</p> <p>The reason for this decision was because, as a Personal Management Licence holder employed by Betway Limited as CEO, and subsequently as Chairman, Mr Akitt failed to take reasonable steps to ensure:</p> <ul style="list-style-type: none"> • Betway had appropriate policies, procedures, and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1 and 12.1.2. • Compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. <p>In reaching our decision we concluded that Mr Akitt was not solely accountable for the failings within the business.</p> <p>Mr Akitt has been open and transparent throughout our engagement with him.</p>

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Anthony James Werkman	PML	Warning with conditions attached	26 January 2021	<p>Following a licence review, the Commission decided to issue Mr Anthony Werkman with a warning under section 117(1)(a) of the Gambling Act 2005 (the Act) and impose a condition on his licence under section 117(1)(b) of the Act.</p> <p>The reason for this decision was because, as a Personal Management Licence holder employed by Betway Limited as Director of Operations and Marketing, and subsequently as CEO, Mr Werkman failed to take reasonable steps to ensure:</p> <ul style="list-style-type: none"> • Betway had appropriate policies, procedures, and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1.2 • compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. <p>Mr Werkman will be required to undertake regular training within his role in respect of Anti Money Laundering and Social Responsibility.</p> <p>In reaching our decision we concluded that Mr Werkman was not solely accountable for the failings within the business.</p> <p>Mr Werkman has been open and transparent throughout our engagement with him.</p>

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George Mackenzie Gordon	PML	Warning	30 December 2020	<p>Following a review under section 116 of the Gambling Act 2005, the Commission decided to issue Mr George Mackenzie Gordon with a warning under section 117(1)(a) of the Act.</p> <p>The reason for this decision was because as a Personal Management Licence holder, whilst employed as a Venue Director at London Clubs Brighton Limited, with oversight of the day-to-day management of a single set of premises, Mr Gordon failed to ensure:</p> <ul style="list-style-type: none"> • policies, procedures and controls were implemented effectively, taking into account any applicable learning or guidelines published by the Gambling Commission, in breach of licence condition 12.1.1.3. In particular, the gathering of customer and enhanced due diligence documents to the required standards • compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. In particular, adequate and effective recording of customer interactions. <p>In reaching our decision we concluded that Mr Gordon was not solely accountable for the failings which were systemic within the Caesars Entertainment UK Limited (CEUK) business.</p> <p>Mr Gordon was also open and transparent throughout our engagement with him.</p>
David Graeme Cullinan	PFL	Revoked	16 December 2020	<p>Following a licence review, the Commission determined to revoke the personal functional licence issued to David Graeme Cullinan (the Licensee) under the provisions of section 119 of the Act Gambling Act 2005 (the Act) on the grounds he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found the Licensee:</p> <ol style="list-style-type: none"> 1. had breached conditions of his licence by failing to notify the Commission within five working days: <ol style="list-style-type: none"> a) he had been the subject of a criminal investigation which is listed under Schedule 7 (Relevant Offences) of the Act, and b) was convicted of an offence under Schedule 7. 2. was unsuitable to carry on the licensed activities.

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Christopher William Green	PML	Warning	9 December 2020	<p>Following a licence review, the Commission decided to issue Mr Christopher Green with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder whilst employed as a Venue Director at London Clubs LSQ Limited and London Clubs Poker Room Limited with oversight of the day to day management of a single set of premises, Mr Green failed to ensure:</p> <ul style="list-style-type: none"> • policies, procedures and controls were implemented effectively, taking into account any applicable learning or guidelines published by the Gambling Commission, in breach of licence condition 12.1.1.3. In particular, the gathering of customer and enhanced due diligence documents to the required standards • compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. In particular, adequate and effective recording of customer interactions. <p>In reaching our decision we concluded that Mr Green was not solely accountable for the failings which were systemic within the Caesars Entertainment UK Limited (CEUK) business.</p> <p>Mr Green has been open and transparent throughout our engagement with him.</p>

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David Michael McDowell	PML	Warning	7 December 2020	<p>Following review of Mr David Michael McDowell’s Personal Management Licence (“PML”), the Commission found he breached paragraph 1 and 2 of the general conditions attached to personal licences under Section 75 of the Gambling Act 2005 and issued him with a warning under Section 117(1)(a) of the Gambling Act 2005.</p> <p>As PML holder, with primary responsibility for the overall strategy and delivery at FSB Technologies (UK) Limited (“FSB”), he failed to ensure FSB:</p> <ul style="list-style-type: none"> • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing (Licence condition 12.1.1.2) and that such policies, procedures and controls were implemented effectively, kept under review and revised appropriately (Licence condition 12.1.1.3) • adhered to Licence condition 16.1.1 (Responsible placement of digital adverts) • complied with the requirements of social responsibility code provision 3.4.1 (Customer interaction). • Complied with the requirements of social responsibility code provision 3.5.3 (Self-exclusion) <p>In addition, we found that Mr McDowell had failed to ensure that FSB carried out sufficient due diligence on its third-party partners.</p> <p>In reaching our decision we concluded that Mr McDowell was not solely accountable for the failings within the business. Mr McDowell accepted at an early stage of our investigation; he has been open, transparent and co-operative throughout the engagement with the Commission.</p>

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Susan McGowan	PML	Warning	3 December 2020	<p>Following a licence review, the Commission decided to issue Ms Susan McGowan with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder whilst employed at London Clubs Glasgow Limited with oversight of the day to day management of a single set of premises, Ms McGowan failed to ensure:</p> <ul style="list-style-type: none"> • policies, procedures and controls were implemented effectively, taking into account any applicable learning or guidelines published by the Gambling Commission, in breach of licence condition 12.1.1.3. In particular, the gathering of customer and enhanced due diligence documents to the required standards • compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. In particular, adequate and effective recording of customer interactions. <p>In reaching our decision we concluded that Ms McGowan was not solely accountable for the failings which were systemic within the Caesars Entertainment UK Limited (CEUK) business.</p> <p>Ms McGowan has been open and transparent throughout our engagement with her.</p>

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Peter Turpin	PML	Warning	26 November 2020	<p>Following a licence review, the Commission decided to issue Mr Peter William Turpin with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder whilst employed by Caesars Entertainment UK Limited (CEUK) with oversight of the day to day management of the licensed activities at an identified number of premises licensed under Part 8 of the Act, Mr Turpin failed to take all reasonable steps to ensure:</p> <ul style="list-style-type: none"> • policies, procedures and controls were implemented effectively, kept under review and revised appropriately ensuring they remained effective, taking into account any applicable learning or guidelines published by the Gambling Commission, putting CEUK in breach of licence condition 12.1.1.3 • CEUK complied with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. <p>In reaching our decision we acknowledge that some of the failings identified at CEUK were not within Mr Turpin's direct control. In addition, Mr Turpin was not solely accountable for the failings identified within the licensed premises which were systemic within the business.</p> <p>Mr Turpin has been open and transparent throughout our engagement with him.</p>

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Maxine Karen Gibbons	PML	Warning	10 November 2020	<p>Following a licence review, the Commission decided to issue Ms Maxine Gibbons with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder whilst employed at London Clubs Manchester Limited with oversight of the day to day management of a single set of premises, Ms Gibbons failed to ensure:</p> <ul style="list-style-type: none"> • policies, procedures and controls were implemented effectively, taking into account any applicable learning or guidelines published by the Gambling Commission, in breach of licence condition 12.1.1.3. In particular, the gathering of customer and enhanced due diligence documents to the required standards • compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. In particular, adequate and effective recording of customer interactions. <p>In reaching our decision we concluded that Ms Gibbons was not solely accountable for the failings which were systemic within the Caesars Entertainment UK Limited (CEUK) business.</p> <p>Ms Gibbons has been open and transparent throughout our engagement with her.</p>
Nirmal Bains	PFL	Revoked	23 October 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Nirmal Bains under the provisions of section 119 of the Act on the grounds he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found the Licensee:</p> <ul style="list-style-type: none"> • was dismissed from employment at a casino after having stolen £12,000 • was the subject of a criminal investigation and was convicted of an offence under Schedule 7 of the Gambling Act 2005 • breached a condition of their licence, in that they failed to notify the Commission within five working days of a key event

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James Anthony Rustean	PFL	Revoked	24 August 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to James Anthony Rustean under the provisions of section 119 of the Gambling Act 2005 on the grounds that conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> Mr Rustean failed to inform the Commission of a key event of his dismissal from work in respect to gross misconduct.
Ashley Dean Henry	PFL	Revoked	6 August 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Ashley Dean Henry under the provisions of section 119 of the Gambling Act 2005 on the grounds conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> Mr Henry was dismissed from his role at the casino on the 17 August 2018 for gross misconduct in the theft of casino chips. Mr Henry failed to inform the Commission of a key event of his dismissal in respect of gross misconduct. Mr Henry received a conditional caution for the theft. Offences under the Fraud Act 2006 are listed under Schedule 7 of Act under paragraph 3A. Licence condition 3(a) requires the holder of a Personal Licence to report to the Commission when they have been subject to a criminal investigation for a Schedule 7 offence. Mr Henry failed to inform the Commission of a key event of his investigation for a schedule 7 offence.

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Ian Flower	PML	Revoked	5 August 2020	<p>Following a licence review the Commission determined to revoke the Personal Management Licence issued to Ian Flower under the provisions of section 119 of the Act on the grounds that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • Whilst employed as a Duty Manager at a casino, the Licensee failed to follow the casino's procedures regarding the completion of roulette wheel checks and then intentionally falsified casino records • The Licensee breached a condition of his licence, in that he failed to notify the Commission within five working days of a key event, namely his dismissal for gross misconduct from the casino's employment.
Ciprian Corneliu Tomovici	PFL	Revoked	3 August 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Mr Ciprian Corneliu Tomovici under the provisions of section 119 of the Gambling Act 2005 on the grounds conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> • Mr Tomovici received a caution for the theft. Offences under the Fraud Act 2006 are listed under Schedule 7 of Act under paragraph 3A • Licence condition 3(a) requires the holder of a Personal Licence to report to the Commission when they have been subject to a criminal investigation for a Schedule 7 offence • Mr Tomovici failed to inform the Commission of a key event of his investigation for a schedule 7 offence. • Mr Tomovici resigned from his position having been invited to an investigation meeting regarding alleged theft. • Mr Tomovici failed to inform the Commission of a key event of his resignation after the commencement of disciplinary proceedings in respect of gross misconduct.

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Cosmin Ioan Costea	PFL	Revoked	3 August 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Mr Cosmin Ioan Costea under the provisions of section 119 of the Gambling Act 2005 on the grounds conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> • Mr Costea received a caution for the theft. Offences under the Fraud Act 2006 are listed under Schedule 7 of Act under paragraph 3A. • Licence condition 3(a) requires the holder of a Personal Licence to report to the Commission when they have been subject to a criminal investigation for a Schedule 7 offence. • Mr Costea failed to inform the Commission of a key event of his investigation for a schedule 7 offence. • Mr Costea was dismissed from his position for gross misconduct. • Mr Costea failed to inform the Commission of a key event of his dismissal for gross misconduct.

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Alexander Samuel Jones	PFL	Revoked	3 August 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Alexander Samuel Jones under the provisions of section 119 of the Gambling Act 2005 on the grounds that conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> On 27 October 2019 whilst employed Hippodrome casino, the licensee was seen by a member the staff to access the roulette table float against casino company policy. He was then seen 'cutting down' £100 worth of chips and he then appeared to remove some chips and hold them in his fist. The casino commenced an investigation during which further incidents of theft by the licensee were identified The Commission understands that when questioned, the licensee admitted the thefts from the casino. The licensee was subsequently arrested on 2 November 2019 by the police for the offence of theft from the casino and also for possession of Class A Controlled substance (illegal drug) which was found by police during a search of his locker. The Commission understands that having been dealt with by the police following his arrest for theft from the casino, he was bailed awaiting prosecution for the theft offence under the Theft Act 1968. The Commission also understands that he was given a Caution by the police for the possession of a Class A controlled substance found in his locker. On 5 November 2019 the licensee was dismissed for gross misconduct following disciplinary proceedings. <p>The Licensee breached the conditions of his licence, in that he failed to notify the Commission of:</p> <ul style="list-style-type: none"> his subjection to a criminal investigation for theft which is listed under Schedule 7 Relevant Offences of the Gambling Act 2005 as required by paragraph 3a of the licence condition attached to his licence the administration of a police caution for possession of a Class A controlled substance as required by paragraph 3d attached to his licence. his dismissal for gross misconduct following disciplinary proceedings as required by paragraph 3e of the condition attached to his licence.

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James Robert Firth	PML	Warning	11 June 2020	<p>Following a licence review, the Commission decided to issue Mr James Robert Firth with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder whilst employed by Caesars Entertainment UK Limited (CEUK) with oversight of the day to day management of a single set of premises, Mr Firth failed to ensure:</p> <ul style="list-style-type: none"> the licensed entity had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1.2 policies, procedures and controls were implemented effectively, kept under review and revised appropriately ensuring they remained effective, taking into account any applicable learning or guidelines published by the Gambling Commission, in breach of licence condition 12.1.1.3 compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings. <p>In reaching our decision we concluded that Mr Firth was not solely accountable for the failings which were systemic within the business.</p> <p>Mr Firth has been open and transparent throughout our engagement with him.</p>

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Tony Richard Boyd	PML	Warning with condition attached	1 June 2020	<p>Following a licence review, the Commission decided to issue Mr Tony Boyd with a warning under section 117 (1) (a) of the Gambling Act 2005 and impose a condition on his licence under section 117(1)(b) of the Act.</p> <p>The reason for this decision was because, as a Personal Management Licence holder employed by Caesars Entertainment UK Limited (CEUK) and responsible for operational delivery at casino premises, followed by a change of responsibilities which involved the management of VIP customers across CEUK's casino estate, Mr Boyd failed to ensure:</p> <ul style="list-style-type: none"> • CEUK had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1.2 • CEUK's policies, procedures and controls were implemented effectively, kept under review and revised appropriately ensuring they remained effective, taking into account any applicable learning or guidelines published by the Gambling Commission, in breach of licence condition 12.1.1.3 • compliance with the requirements of social responsibility code provision 3.4.1 (Customer interaction) relevant at the time of the failings <p>Prior to resuming a position where a personal management licence is required, Mr Boyd will be required to undertake training commensurate with his role.</p> <p>In reaching our decision we concluded that Mr Boyd was not solely accountable for the failings which were systemic within the business.</p> <p>Mr Boyd has been open and transparent throughout our engagement with him.</p>

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Matti Metsola	PML	Warning	18 May 2020	<p>Following a licence review, the Commission decided to issue Mr Matti Metsola with a warning under section 117(1)(a) of the Gambling Act 2005 and impose a condition on the Licensee's licence under section 117 (1) (b) of the Act.</p> <p>The reason for this decision was because, as a Personal Management Licence holder responsible for regulatory compliance at MT Secure Trade Limited (MTST), Mr Metsola failed to ensure MTST:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1.2 • put into effect adequate anti-money laundering controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2 • notified the Commission of a key event, namely that a person holding a key position had ceased to occupy the position – breach of Licence condition 15.2.1, and • complied with the requirements of social responsibility code provision 3.4.1 (Customer interaction). <p>In reaching our decision we concluded that Mr Metsola was not solely accountable for the failings which were systemic within the business. Mr Metsola will also be required to undertake training commensurate with his role.</p> <p>Mr Metsola has been open and transparent throughout our engagement with him.</p>

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Tomas Backman	PML	Warning	27 April 2020	<p>Following a licence review, the Commission decided to issue Mr Tomas Backman with a warning under section 117(1)(a) of the Gambling Act 2005 and impose a condition on the Licensee's licence under section 117(1)(b) of the Act.</p> <p>The reason for this decision was because, as a Personal Management Licence holder responsible for overall management and direction at Betit Operations Limited (Betit), Mr Backman failed to ensure Betit:</p> <ul style="list-style-type: none"> • adhered to Licence condition 1.2.1(1) in that the person occupying a specified position, namely information technology, did not hold a personal management licence (PML) • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1.2 and that such policies, procedures and controls were implemented effectively, kept under review and revised appropriately in breach of licence condition 12.1.1.3 • put into effect adequate anti-money laundering controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2 • notified the Commission of a key event, namely that a person holding a key position, had ceased to occupy the position – breach of Licence condition 15.2.1, and • complied with the requirements of social responsibility code provision 3.4.1 (Customer interaction). <p>In reaching our decision we concluded that Mr Backman was not solely accountable for the failings which were systemic within the business. Mr Backman will also be required to undertake training commensurate with his role.</p> <p>Mr Backman has been open and transparent throughout our engagement with him.</p>

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Matthew Anthony Vassallo	PML	Warning	24 April 2020	<p>Following a licence review, the Commission decided to issue Mr Matthew Vassallo with a warning under section 117(1)(a) of the Gambling Act 2005 and impose a condition on the Licensee's licence under section 117(1)(b) of the Act.</p> <p>The reason for this decision was because, as a Personal Management Licence holder and money laundering reporting officer responsible for anti-money laundering (AML) at Betit Operations Limited (Betit), Mr Vassallo failed to ensure Betit:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of licence condition 12.1.1.2 and that such policies, procedures and controls were implemented effectively, kept under review and revised appropriately in breach of licence condition 12.1.1.3 • put into effect adequate AML controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2. <p>In reaching our decision we concluded Mr Vassallo was not solely accountable for the failings which were systemic within the business. Mr Vassallo will also be required to undertake training commensurate with his role.</p> <p>Mr Vassallo has been open and transparent throughout our engagement with him.</p>

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Milan Balog	PFL	Revoked	1 April 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Milan Balog under the provisions of section 119 of the Gambling Act 2005 on the grounds conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> • Mr Balog was dismissed from his role at the casino on the 13 August 2019 for collusion and fraud • Mr Balog failed to inform the Commission of a key event of his dismissal in respect of gross misconduct • Mr Balog failed to inform the Commission of a change to his address.
Emanuel Victor Savu	PFL	Revoked	27 February 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Emanuel Victor Savu under the provisions of section 119 of the Gambling Act 2005 on the grounds that conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> • On 17 and 18 April 2019, Mr Savu took three free parking tickets for his own use which were made available by his employer for customer use only. He subsequently falsified his employer's records to show that the parking tickets had been used by customers who were not on the premises. He was subsequently dismissed as a casino dealer for gross misconduct on 2 May 2019. • Mr Savu failed to inform the Commission of a key event of his dismissal in respect of gross misconduct.

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Mark Jozsef	PFL	Revoked	2 March 2020	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Mr Jozsef Mark under the provisions of section 119 of the Gambling Act 2005 on the grounds conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> Mr Mark was dismissed from his role at the casino on the 1 September 2019 for collusion and alleged cheating with an identified customer Mr Mark failed to inform the Commission of a key event of his dismissal in respect of gross misconduct.
Sarah Jones	PML	Revoked	24 January 2020	<p>Following a licence review the Commission decided to revoke the Personal Functional Licence issued to Miss Sarah Jane Jones under the provisions of section 119 of the Act on the grounds that she was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> The Licensee had failed to provide the information required as part of the Personal Licence Maintenance process to assess the continued suitability of the Licensee to hold a personal licence. The Licensee had failed to co-operate with the review under section 120(1)(c) of the Gambling Act 2005.
Julian Hodgkinson	PML and PFL	Revoked	18 February 2020	<p>Following a licence review, the Commission decided to revoke the Personal Management Licence issued to Julian Hodgkinson under the provisions of section 117(f) of the Gambling Act 2005 on the grounds that he breached conditions of his licence and was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The review took place following an altercation involving Mr Hodgkinson and a guest at his place of work, which resulted in his dismissal for gross misconduct. Mr Hodgkinson did not notify the Commission of his dismissal within the required 5 working days.</p>

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Craig Dobson	PML	Warning	17 December 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Craig Dobson with a warning under section 117(1)(a) of the Gambling Act 2005. The reason for this decision was because, as a Personal Management Licence holder at Casino 36 Limited, Mr Craig Dobson failed to ensure Casino 36:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 – Anti-money laundering – Prevention of money laundering and terrorist financing. • complied with the requirements of social responsibility Code 3.4.1 Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition. <p>This meant that Mr Dobson had breached condition 1 of his personal management licence. In reaching our decision we concluded that Mr Dobson was not solely accountable for the failings which were systematic within the business. Mr Dobson has been open and transparent throughout his engagement with the Commission.</p>
Adrian Ballard	PML	Warning	17 December 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Adrian Ballard with a warning under section 117(1)(a) of the Gambling Act 2005. The reason for this decision was because, as a Personal Management Licence holder at Casino 36 Limited, Mr Adrian Ballard failed to ensure Casino 36:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 – Anti-money laundering – Prevention of money laundering and terrorist financing. • complied with the requirements of social responsibility Code 3.4.1 Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition. <p>This meant that Mr Ballard had breached condition 1 of his personal management licence. In reaching our decision we concluded that Mr Ballard was not solely accountable for the failings which were systematic within the business. Mr Ballard has been open and transparent throughout his engagement with the Commission.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Christopher Dunn	PFL	Revoked	19 December 2019	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Christopher Dunn under the provisions of section 119 of the Gambling Act 2005 on the grounds conditions of the licence have been breached and he is unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> • Mr Dunn reported to work on 22 December 2018 under the influence of alcohol in an unfit state which left him unable to carry out his duties as a Licensee. He was subsequently dismissed for gross misconduct on 31 December 2018 by Genting. • Mr Dunn failed to inform the Commission through a key event of his change of address. • Mr Dunn failed to inform the Commission of a key event of his dismissal in respect of gross misconduct.
John Frederick Munday	PFL	Revoked	21 November 2019	<p>Following a licence review the Commission decided to revoke the Personal Functional Licence issued to Mr John Frederick Munday under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • The Licensee had failed to provide the information required as part of the Personal Licence Maintenance process to assess the continued suitability of the Licensee to hold a personal licence. • The Licensee had failed to co-operate with the review under section 120(1)(c) of the Gambling Act 2005.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Kai Krzysztof Przewlocki	PFL	Revoked	25 September 2019	<p>Following a licence review, the Commission decided to revoke the Personal Functional Licence issued to Mr Kai Krzysztof Przewlocki under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • The Licensee had failed to provide the information required by the Commission to assess the continued suitability of the Licensee to hold a personal licence as part of the Personal Licence Maintenance process • The Licensee had failed to cooperate with the review under section 120(1)(c) of the Gambling Act 2005.
Ross Ferguson	PML	Warning	20 March 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Ross Ferguson with a warning under section 117(1)(a) of the Gambling Act 2005. The reason for this decision was because, as a Personal Management Licence holder and the Money Laundering Reporting Officer at Silverbond Enterprises Limited, Mr Ross Ferguson failed to ensure Silverbond:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing; • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of Licence condition 12.1.1.2 • put into effect adequate anti-money laundering controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the Licence condition attached to the operating licence on 6 June 2016 • complied with the requirements of social responsibility Code 3.4.1 Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition. • Complied with ordinary code provision 2.1.1. to help prevent activities related to ML and terrorist financing. Licensees are also expected to act in accordance with the Commission's guidance on AML. <p>In reaching our decision we concluded that Mr Ferguson was not solely accountable for the failings which were systemic within the business. Mr Ferguson has been open and transparent throughout his engagement with the Commission. In addition, Mr Ferguson will be required to undertake training in respect of developing his knowledge of the Commission compliance requirements'</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Glynne Parsons	PML	Warning	20 March 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Glynne Parsons with a warning under section 117(1)(a) of the Gambling Act 2005. The reason for this decision was because, as a Personal Management Licence holder and in a role initially as Director of Gaming who was in control of Casino Managers, Pit bosses and gaming staff and subsequently as Club Director, Mr Glynne Parsons played a role in failing to ensure Silverbond:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing; • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of Licence condition 12.1.1.2 • put into effect adequate anti-money laundering controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the Licence condition attached to the operating licence on 6 June 2016 • complied with the requirements of social responsibility Code 3.4.1 Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition. • Complied with ordinary code provision 2.1.1. to help prevent activities related to ML and terrorist financing. Licensees are also expected to act in accordance with the Commission's guidance on AML. <p>In reaching our decision we concluded that Mr Parsons was not solely accountable for the failings which were systemic within the business. Mr Parsons has been open and transparent throughout his engagement with the Commission and accepts that his actions, contributed in part, to the breach of the conditions by the operator. In addition, the Commission highlights that Mr Parsons was not employed in a key qualifying position, but that he was in a position to play a role in ensuring compliance with the gambling Act 2005.'</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Alexander Stevandal	PML	Warning	25 July 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Alexander Stevandal with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because as a Personal Management Licence holder, responsible for overall management and direction and regulatory compliance, at Videoslots he failed to take all reasonable steps to ensure that the way in which he carried out his responsibilities in relation to licensed activities did not place Videoslots in breach of their licence, in particular:</p> <ul style="list-style-type: none"> • Failure to comply with Licence condition 12.1.1 – Anti-money laundering - Prevention of money laundering and terrorist financing • Failure to comply with Licence condition 12.1.2 – Anti-money laundering – Measure for operators based in foreign jurisdictions • Failure to comply with social responsibility code of practice 3.4.1 – Customer interaction. Compliance with a social responsibility code of practice is a condition of the licence • Failure to comply with Licence condition 1.2.1 – Personal management offices • Failure to comply with Licence condition 15.2.1 – Key event notification. <p>In reaching our decision, we concluded that Mr Stevandal was not solely responsible for the failings of the operators, and that he has been open and transparent throughout the engagement.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Anthony Edward Cooper	PFL	Revoked	22 July 2019	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Anthony Edward Cooper under the provisions of Section 119 of the Gambling Act 2005 on the grounds he was unsuitable to carry on the licensed activities permitted by the Licence.</p> <p>The Commission found:</p> <ul style="list-style-type: none"> On 18 December 2018 Mr Cooper attended an investigation meeting which related to the theft of three promotional soft toys with a value of £10.00. On 27 December 2018 Mr Cooper was shown CCTV footage which showed him taking the toys and placing them up the sleeves of his jacket before leaving without making any form of payment. At the meeting Mr Cooper admitted to stealing the soft toys and was subsequently dismissed. Mr Cooper failed to inform the Commission of a key event, namely his dismissal in respect of gross misconduct.
Wah Sang Yu	PML	Revoked	8 April 2019	<p>Following a licence review, the Commission determined to revoke the Personal Management Licence issued to Mr Wah Sang Yu (the Licensee) under the provisions of section 119 of the Gambling Act 2005 on the grounds that he breached conditions of his licence and that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> Whilst engaged in a key management role for Lucky 8 Limited (Lucky 8), the Licensee breached a condition of his licence, by failing to carry out his responsibilities as a PML. This placed Lucky 8 in breach of its own licence conditions. The Licensee failed in his responsibilities to ensure Lucky 8 notified the Commission of two changes of corporate control within five weeks of the changes taking place. The Licensee failed to receive accurate updates from employees to ensure that Lucky 8 was operating in compliance with conditions attached to its licence and that its suitability was not called into question. The Licensee failed to ensure the Commission was kept informed of matters the Commission would reasonably need to be aware of in exercising its regulatory functions.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Yat Jone Sunny Lam	PML	Revoked	8 April 2019	<p>Following a licence review, the Commission determined to revoke the Personal Management Licence issued to Mr Yat Jone Sunny Lam (the Licensee) under the provisions of section 119 of the Gambling Act 2005 on the grounds that he breached conditions of his licence and that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> Whilst employed as an Operations Manager for Lucky 8 Limited (Lucky 8), the Licensee breached a condition of his licence, by failing to carry out his responsibilities as a PML. This placed Lucky 8 in breach of its own licence conditions. The Licensee failed in his responsibilities to ensure Lucky 8 notified the Commission of two changes of corporate control within five weeks of each of the changes taking place. The Licensee failed to work with the Commission in an open and cooperative way by not communicating or interacting with the Commission on concerns that existed regarding how Lucky 8 was conducting its affairs.
Scott Adam Rayer	PFL	Revoked	14 March 2019	<p>Following a licence review, the Commission determined to revoke the Personal Functional Licence issued to Scott Adam Rayer under the provisions of section 119 of the Gambling Act 2005 on the grounds that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> On 17 September 2018, whilst employed as a Valet at a casino, the Licensee failed to follow the casino's procedures regarding a £25.00 gaming chip which was found on the floor whilst Mr Rayer was on shift. On 10 October 2018, Mr Rayer attended an investigation interview conducted by his employer in respect of the incident. During this meeting, Mr Rayer admitted his actions and on conclusion of the interview was suspended from his employment. On 17 October 2018, Mr Rayer resigned from his position as a Valet prior to the conclusion of the casino's investigation for gross misconduct.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Colin Paul Cole-Johnson	PML	Warning	08 March 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Colin Cole-Johnson with a warning under section 117(1)(a) of the Gambling Act 2005 (the Act).</p> <p>The reason for this decision was because as a Personal Management Licence holder, responsible for overall management and direction and regulatory compliance, at Rank Digital he failed to take all reasonable steps to ensure that the way in which he carried out his responsibilities in relation to licensed activities did not place Rank Digital in breach of their licence, in particular:</p> <ul style="list-style-type: none"> • Failure to comply with code of practice - Social Responsibility Code 3.7.2 Provision of credit. Compliance with this Social Responsibility Code is a condition of the operating licence by virtue of section 82(1) of the Act. • Failure to comply with code of practice - Social Responsibility Code 3.4.1 Customer Interaction. Compliance with this Social Responsibility Code is a condition of the operating licence by virtue of section 82(1) of the Act. <p>In reaching our decision, we concluded that Mr Cole-Johnson was not solely accountable for the failings which related to the management of a VIP customer. Mr Cole-Johnson has been open and transparent throughout the engagement and has, since this issue, developed his knowledge of the Commission's compliance requirements.</p>
Marco Sottile	PFL	Revoked	12 February 2019	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Functional Licence issued to Marco Sottile under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • On 17 October 2018 the licensee took £20 from a cash box at the casino. CCTV footage showed the licensee had repeated the act on a further three occasions while undertaking the same task. On 19 October 2018 the licensee admitted each act of theft to casino management and was dismissed. • The licensee failed to inform the Commission of a key event, namely his dismissal in respect of gross misconduct.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Patrick Kingsley Warwick Smith	PFL	Warning	9 January 2019	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Smith with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> Mr Smith behaved dishonestly in that he left a shop without paying for a low value item. When the incident took place, Mr Smith was wearing the uniform of the gambling operator at which he was employed. The shop raised the matter with Mr Smith's employer. On 2 August 2018 Mr Smith attended a formal disciplinary meeting with his employer. At the meeting he made a prompt and full admission of the allegation. He was dismissed from his employment on the same date for theft of the item from the shop. <p>In reaching our decision, we took into consideration that Mr Smith failed to notify the Commission of his dismissal, however he was open and transparent with the Commission following commencement of the review. Mr Smith fully admitted his actions to his employer and provided mitigation with supporting evidence in his representations to the Commission.</p>
Mark David Attree	PFL	Revoked	24 December 2018	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Management Licence issued to Mark Attree under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> when working in a licensable role at Grosvenor Brighton Casino on 9 September 2018, CCTV recorded Mr Attree pick up an object from the casino floor which was identified as a gaming chip. He exchanged the chip for money with a customer. He did not report the matter to the duty manager and kept the money. Grosvenor Brighton Casino suspended him to allow an investigation into alleged gross misconduct. On 16 September 2018 he attended an investigation meeting conducted by his employer in respect of the allegation. During the meeting he admitted to the allegation and resigned with immediate effect Mr Attree failed to inform the Commission of his resignation following the commencement of disciplinary proceedings in respect of gross misconduct.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Vicenzo Maffei	PFL	Warning	17 December 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Vincenzo Maffei with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> Mr Maffei behaved dishonestly, in that he accepted a £50.00 tip from a customer and failed to place it in the tip box as per company policy. An investigation subsequently took place, where Mr Maffei admitted accepting a £50.00 gratuity. Mr Maffei confirmed that he was aware of company policy regarding receipt of gratuities. On 28 June 2018, a formal disciplinary hearing took place, where Mr Maffei admitted his actions. On 30 June 2018, Mr Maffei was dismissed for gross misconduct due to theft. <p>In reaching our decision, we took into consideration that Mr Maffei has been open and transparent with the Commission. Mr Maffei notified the Commission of his dismissal via a key event submission within five working days, in accordance with his licence conditions. Mr Maffei fully admitted his actions to the operator and expressed remorse in his representations to the Commission.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Alessandro Francaviglia	PFL	Revoked	22 November 2018	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Management Licence issued to Alessandro Francaviglia (the Licensee) under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> When working in a licensable role, whilst at work just before midnight on Thursday 19 July 2018, the Licensee was on duty at the casino. At this time, he was observed on CCTV behaving in a suspicious manner and was subsequently found in possession of a £100 chip that was found concealed in his shoe. When the Licensee attended an investigatory meeting, he was shown footage of the incident on the 19 July together with other footage from the 16 July 2018. He admitted to taking a further £100 chip and produced it to the management on that date. The Licensee asked to resign and was allowed to do so. The Licensee failed to inform the Commission of his resignation following the commencement of disciplinary proceedings in respect of gross misconduct.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Izak Cronje	PML	Warning	19 November 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Izak Cronje with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder responsible for overall management and direction at Daub Alderney Limited (Daub), Mr Cronje failed to ensure Daub:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing; • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of Licence condition 12.1.1.2 and such policies, procedures and controls were implemented effectively, kept under review and revised appropriately in breach of Licence condition 12.1.1.3; • put into effect adequate anti-money laundering controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the Licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2 Anti money laundering measures for operators based in foreign jurisdictions; • complied with the requirements of social responsibility Code 3.4.1 Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition, and; • complied with the requirement of social responsibility code SR code 6.1.1 to have a Complaints and disputes procedure issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition <p>In reaching our decision we concluded that Mr Cronje was not solely accountable for the failings which were systemic within the business. Mr Cronje has been open and transparent throughout the engagement and has since Daub's corporate evaluation made a significant contribution to improving its regulatory compliance.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Pierre Mangion	PML	Warning	16 November 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Pierre Mangion with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The Commission determined that Mr Mangion failed to comply with the general condition of his Personal management licence (PML), namely Part III, condition 1, suite of general conditions attached to his personal licence under 75 of the Act.</p> <p>The reason for this decision was because, as a Personal Management Licence holder and the Money Laundering Reporting Officer and Head of Regulatory Compliance at CZ Holdings Limited, Mr Mangion failed to ensure CZ Holdings Limited complied with the conditions attached to its operating licence, in particular:</p> <ul style="list-style-type: none"> • paragraphs 1,2 and 3 of the licence condition 12.1.1 (Anti-money laundering – prevention of money laundering and terrorist financing) • the individual licence condition attached to its operating licence on 1 November 2014 to comply with the Money Laundering Regulations as amended. • paragraph 1 of the licence condition 12.1.2 - Anti money laundering measures for operators based in foreign jurisdictions • social responsibility Code 3.4.1 - Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition by virtue of section 82(1) of the Act. <p>As a result, Mr Mangion breached Licence Condition 1 of his personal management licence, contained at Part 3 of the Licence conditions and codes of practice.</p> <p>In reaching our decision we concluded that Mr Mangion was not solely accountable for the failings which were systemic within the business. Mr Mangion has been open and transparent throughout the engagement and has, since CZ Holdings' July 2017 compliance assessment, contributed to improving its regulatory compliance and in addition undertaken training in respect of developing his knowledge.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Oscar Simonsson	PML	Warning	15 November 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Oscar Simonsson with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder and the Chief Executive Officer at Casumo Services Limited (Casumo), Mr Simonsson failed to:</p> <ul style="list-style-type: none"> ensure that Casumo complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1(1) - Anti-money laundering - Prevention of money laundering and terrorist financing ensure that Casumo had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of Licence condition 12.1.1(2) ensure that such policies, procedures and controls were implemented effectively, kept under review and revised appropriately in breach of Licence condition 12.1.1(3) ensure that Casumo had and put into effect adequate anti-money laundering controls that complied with the Money Laundering Regulations 2007 and 2017 as required by the Licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2 Anti money laundering measures for operators based in foreign jurisdictions that Casumo complied with the requirement to comply with social responsibility Code 3.4.1, Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition. <p>As a result, Mr Simonsson breached Licence Condition 1 of his personal management licence, contained at Part 3 of the Licence conditions and codes of practice.</p> <p>We should make it clear that we do not hold Mr Simonsson solely accountable for the failings which were systemic within the business. Mr Simonsson has been open, transparent and co-operative throughout the engagement and has since Casumo's assessment pro-actively put remedial provisions in place to mitigate the risk to the licensing objectives.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Luca Giacalone	PFL	Revoked	14 November 2018	<p>Following a licence review, the Commission decided to revoke the Personal Functional Licence issued to Mr Luca Giacalone under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • The Licensee had been dismissed for gross misconduct, due to the theft of personal property • The Licensee had breached a condition of his licence in failing to notify the Commission of two key events, namely the imposition of a disciplinary sanction, and change of address.
Damon Hodder	PFL	Revoked	2 November 2018	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Functional Licence issued to Damon Hodder under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • Whilst employed at the casino on 19 April 2018 on two separate occasions the licensee was seen to remove 2 x £25 roulette chips from the gaming table and conceal them inside his waistcoat. • Upon further investigation and questioning, a total of £200 worth of stolen gaming chips belonging to the operator were recovered from the licensee's clothing. • On 27 April 2018 the licensee was interviewed during which he admitted the theft of the gaming chips and that he had modified his waistcoat with a tear, in order to facilitate the theft and concealment. He further admitted to concealing additional gaming chips and admitted that his actions were dishonest. • The licensee failed to inform the Commission of his dismissal for gross misconduct.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
David Klepp	PFL	Revoked	29 October 2018	<p>Following a licence review the Commission determined to revoke the Personal Management Licence issued to David Klepp under the provisions of section 119 of the Gambling Act 2005 on the grounds that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> Whilst employed as a Duty Manager at a casino, the Licensee failed to follow the casino's procedures regarding customer threshold limits and then attempted to falsify casino records. The Licensee breached a condition of his licence, in that he failed to notify the Commission within five working days of a key event, namely his resignation following commencement of disciplinary proceedings in respect of gross misconduct.
Philip Trevor Nunn	PML	Warning	8 October 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Philip Nunn with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because as a Personal Management Licence holder, responsible for Casino management, at Grosvenor Casino (GC) Limited (Grosvenor) he failed to take all reasonable steps to ensure that the way in which he carried out his responsibilities in relation to licensed activities did not place Grosvenor in breach of their licence, in particular:</p> <ul style="list-style-type: none"> social responsibility code provision 3.5.1 (Self-exclusion) and social responsibility code provision 3.4.1 (Customer interaction). Compliance with a social responsibility code provision is a condition of the operating licence by section 82(1) of the Act. <p>In reaching our decision we concluded that Mr Nunn was not solely accountable for the failings which related to the management of a VIP customer. Mr Nunn has been open and transparent throughout the engagement and has since this issue developed his knowledge of the Commission's compliance requirements.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Darren Antony Glover	PFL	Revoked	21 August 2018	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Functional Licence issued to Darren Glover under the provisions of section 119 of the Gambling Act 2005 on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • When working in a licensable role, whilst at work just before midnight on 30 January 2018, the Licensee was on duty covering the Reception Desk. At this time, the Licensee was observed on CCTV behind the reception counter. The Licensee was seen to keep bending down as if to reach for something on the bottom shelf of the reception desk. This was where the tip-box was kept, and it was thought the Licensee was handling this box in some way. The Licensee was seen that same night by management, searched and found in possession of cash including half of a £5 note with the other half subsequently being found inside the locked tip box. • The Licensee failed to inform the Commission of his resignation following the commencement of disciplinary proceedings in respect of gross misconduct.
Thomas Mathieu Salvador	PFL	Revoked	20 August 2018	<p>Following a licence review the Commission determined to revoke the Personal Functional Licence issued to Thomas Salvador under the provisions of section 119 of the Act on the grounds that he was considered an unsuitable person to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • Whilst employed as a dealer at Aspers Casino (Stratford) London, the Licensee colluded and cheated with the same customer on at least three separate occasions resulting in the customer incorrectly receiving £1410. This brings into question the honesty and integrity of the Licensee. The Licensee was subsequently dismissed from his position at the Casino for gross misconduct. • The Licensee breached conditions of his licence by failing to inform the Commission of his dismissal following a disciplinary investigation for gross misconduct and also for failing to inform the Commission of a change in residential address.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Poovadee Palaniandy	PML	Warning	20 August 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Ms Poovadee Palaniandy with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder and the Money Laundering Reporting Officer at Daub Alderney Limited (Daub), Ms Palaniandy failed to ensure Daub:</p> <ul style="list-style-type: none"> • complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1 - Anti-money laundering - Prevention of money laundering and terrorist financing; • had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of Licence condition 12.1.1.2 and such policies, procedures and controls were implemented effectively, kept under review and revised appropriately in breach of Licence condition 12.1.1.3. • put into effect adequate anti-money laundering controls such that it complied with the Money Laundering Regulations 2007 and 2017 as required by the Licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2 Anti money laundering measures for operators based in foreign jurisdictions; • complied with the requirements of social responsibility Code 3.4.1 Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition, and; • complied with the requirement of social responsibility code SR code 6.1.1 to have a Complaints and disputes procedure issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition <p>In reaching our decision we concluded that Ms Palaniandy was not solely accountable for the failings which were systemic within the business. Ms Palaniandy has been open and transparent throughout the engagement and has since Daub's corporate evaluation made a significant contribution to improving its regulatory compliance and in addition undertaken training in respect of developing her knowledge of the Commission compliance requirements.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Matthew Borg Manche	PML	Warning	16 August 2018	<p>Following a licence review, the Commission decided that it was appropriate to issue Mr Matthew Borg Manche with a warning under section 117(1)(a) of the Gambling Act 2005.</p> <p>The reason for this decision was because, as a Personal Management Licence holder and the Money Laundering Reporting Officer at Casumo Services Limited (Casumo), Mr Borg Manche failed to:</p> <ul style="list-style-type: none"> ensure that Casumo complied with the requirement to complete a risk assessment as required by Licence condition 12.1.1(1) - Anti-money laundering - Prevention of money laundering and terrorist financing ensure that Casumo had appropriate policies, procedures and controls to prevent money laundering and terrorist financing in breach of Licence condition 12.1.1(2) ensure that such policies, procedures and controls were implemented effectively, kept under review and revised appropriately in breach of Licence condition 12.1.1(3) ensure that Casumo had and put into effect adequate anti-money laundering controls that complied with the Money Laundering Regulations 2007 and 2017 as required by the Licence condition attached to the licence on 1 November 2014 and Licence Condition 12.1.2 Anti money laundering measures for operators based in foreign jurisdictions that Casumo complied with the requirement to comply with social responsibility Code 3.4.1. Customer interaction code of practice issued under Section 24 Gambling Act 2005 to be treated as a Licence Condition. <p>We should make it clear that we do not hold Mr Borg Manche solely accountable for the failings which were systemic within the business. Mr Borg Manche has been open, transparent and co-operative throughout the engagement and has since Casumo's assessment pro-actively put remedial provisions in place to mitigate the risk to the licensing objectives.</p>

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Jack Don White	PFL	Revoked	14 August 2018	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Management Licence issued to Jack Don White under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • Whilst employed at the casino on 28 January 2018 the licensee fraudulently awarded 30000 customer loyalty points (equivalent to £300) each onto 3 customer accounts which was later converted by yourself into £900 cash obtained via the cash desk at the casino. • The licensee failed to inform the Commission of his resignation following the commencement of disciplinary proceedings in respect of gross misconduct.
Dumitru-Romeo Simionescu	PFL	Revoked	13 August 2018	<p>Following the conduct of a licence review, the Commission decided to revoke the Personal Functional Licence issued to Dumitru-Romeo Simionescu, under the provisions of section 119 of the Gambling Act 2005 on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> • the Licensee behaved dishonestly, in that he colluded with a customer of the casino, resulting in the theft of £9,610 from the casino • the Licensee also breached a condition attached to personal licences under section 75 of the Gambling Act 2005, in that he failed to notify the Commission of his change of address

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Cosmin Maris	PFL	Revoked	8 August 2018	<p>Following a licence review the Commission determined to revoke the Personal Functional Licence issued to Cosmin Maris under the provisions of section 119 of the Act on the grounds that he was considered an unsuitable person to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ol style="list-style-type: none"> 1. On 20th January 2018 the Licensee failed to act with integrity, openness and transparency whilst completing his Personal Functional Licence maintenance document. 2. On 5th April 2018 the Licensee was convicted of a Schedule 7 offence and received an 8-month prison sentence suspended for two years. There are a number of conditions attached to this sentence. This matter was not related to the Licensee's licensed employment. 3. The Licensee has breached condition 3 of his licence in a number of ways namely: <ul style="list-style-type: none"> • in January 2018 he failed to inform the Commission he was subject of an ongoing criminal investigation • failed to inform the Commission that he had pleaded guilty to the offences on 8th March 2018, • resigned from his position as a croupier on 21 March 2018 for gross misconduct and failed to notify the Commission of this until 3rd April 2018, • sentenced at the Crown Court on 5th April 2018 and failed to notify the Commission of this.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Luca La Croce	PFL	Revoked	3 August 2018	<p>Following a licence review the Commission determined to revoke the Personal Functional Licence issued to Luca La Croce under the provisions of section 119 of the Act on the grounds that he was considered an unsuitable person to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> On 27 March 2018 whilst employed as a croupier at Aspers Casino Newcastle upon Tyne the Licensee visited the Genting Casino Newcastle upon Tyne and attempted to cheat whilst playing at a roulette table. This was reported to the Licensee's employer and subsequently led to the Licensee's dismissal for gross misconduct. The Licensee breached conditions of his licence by failing to inform the Commission of his dismissal following a disciplinary investigation for gross misconduct and also by failing to inform the Commission of a change in residential address.
Mohammed Nadeem	PFL	Revoked	10 July 2018	<p>Following a licence review, the Commission decided to revoke the Personal Functional Licence issued to Mr Mohammed Nadeem under the provisions of section 119 of the Act on the grounds that he was considered unsuitable to carry on the licensed activities permitted by the licence. The Commission found that:</p> <ul style="list-style-type: none"> The Licensee was convicted of the criminal offence of Conspiracy to Defraud. This offence is listed in Schedule 7 Relevant Offences of the Gambling Act 2005. The Licensee breached conditions of his licence by failing to inform the Commission that he was the subject of a criminal investigation and of his subsequent conviction.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Georgi Belchev Ivanov	PFL	Revoked	31 May 2018	<p>Following a licence review the Commission determined to revoke the Personal Functional Licence issued to Mr Georgi Belchev Ivanov under the provisions of section 119 of the Act on the grounds that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> whilst employed in a casino, he colluded with a customer by performing multiple cheat moves allowing them to gain a significant advantage in the game and enabling them to obtain financial gain the Licensee breached conditions of his licence by failing to inform the Commission of his dismissal following a disciplinary investigation for gross misconduct and failed to inform the Commission that he was subject of a criminal investigation which is listed under Schedule 7 Relevant Offences of the Gambling Act 2005.
Razvan Vemesan	PFL	Revoked	31 May 2018	<p>Following a licence review the Commission determined to revoke the Personal Functional Licence issued to Razvan Vermesan under the provisions of section 119 of the Act on the grounds that he was considered an unsuitable person to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> whilst working at Grosvenor Casino as a croupier, the Licensee credited loyalty points which had not been earned to a customers' loyalty card when the customer was not present in the Casino. His actions were dishonest. the Licensee breached conditions of his licence by failing to inform the Commission of his resignation during a disciplinary investigation for gross misconduct.

Licence Holder	Licence type	Decision	Date of decision	Details of decision
Nicholas Phillips	PFL	Revoked	15 May 2018	<p>Following a licence review the Commission determined to revoke the personal functional licence issued to Nicholas Phillips under the provisions of section 19 of the Gambling Act 2005 on the grounds that he was unsuitable to carry on the licensed activities permitted by the licence.</p> <p>The Commission found that:</p> <ul style="list-style-type: none"> whilst employed as a croupier in a casino he failed to inform management at the casino that he had been approached by a customer whose intention it was to defraud the company. He colluded with the customer, potentially placing company assets at risk the Licensee breached a condition of his licence in that he failed to notify the Commission within five working days of a key event, namely the imposition of a disciplinary sanction, dismissal for gross misconduct.