Little River Band of Ottawa Indians
Gaming Commission
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Gaming Commission Resolution #GC14-0716-17

APPROVING REVISED GAMING COMMISSION REGULATION #R400-04:GC-04 CHAPTER 4 – NOTIFICATIONS AND REPORTS

WHEREAS, the Tribe's status as a federally-recognized Indian tribe was reaffirmed and restored by Congress pursuant to Public Law 103-324, 108 Stat. 2156 (25 U.S.C.§ 1300k et seq.); and

WHEREAS, the Tribe adopted a Constitution, pursuant to a vote of the membership on May 27, 1998, which Constitution became effective upon its approval by the Assistant Secretary-Indian Affairs on July 10, 1998; and

WHEREAS, the Tribe adopted amendments to the Constitution on April 26, 2004, which became effective upon approval by the Assistant Secretary-Indian Affairs on May 13, 2004; and

WHEREAS, the Tribal Council is authorized under Article IV, Section 7(a) to provide for the public health, peace, morals, education and general welfare of the Little River Band of Ottawa Indians and its members; and

WHEREAS, the Tribal Council is authorized under Article IV, Section 7(I) to take action, not inconsistent with the Constitution or Federal law, which is necessary and proper to carry out the sovereign powers of the Tribe; and

WHEREAS, the Tribal Council adopted Gaming Commission Ordinance #04-400-04 which created a Gaming Commission and delegated to such Commission the authority to regulate all gaming activities authorized by the Tribe and to enforce all Tribal and federal laws governing the conduct of Tribally licensed gaming activities; and

WHEREAS, the Gaming Commission, pursuant to Section 6.04(a) of the Gaming Commission Ordinance, shall promulgate regulations consistent with the Gaming Ordinance and necessary to carry out the orderly performance of its duties and powers; and

WHEREAS, the Gaming Commission revised Gaming Commission Regulation *Chapter 4 – Notifications and Reports* to further clarify and/or bring them up-to-date (including acceptable methods of delivery – electronic submissions) the required notifications and reports to be submitted to the Gaming Commission and inadvertently referenced outdated Ordinances within the authority section of the regulation.

NOW THEREFORE IT IS RESOLVED THAT the Little River Band of Ottawa Indians Gaming Commission hereby approves the revised Gaming Commission Regulation #400-04:GC-04 *Chapter 4 – Notifications and Reports*; and

IT IS FURTHER RESOLVED THAT Chapter 4 – Notifications and Reports Regulation be forwarded to the Tribal Council Recorder for filing in accordance with Gaming Commission Ordinance Section 6.04(b).

Certificate of Adoption

I, Joseph Riley II, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on July 16, 2014 by a vote of 3 in favor, 0 opposed, and 0 abstentions and 1 absent. This resolution has not been amended or rescinded in any way.

Attest:

Joseph Riley II, Secretary

Distribution: Commission Records
Tribal Council Recorder

Gaming Commission Regulations
Regulation #R400-04-GC-04

Chapter 4 -Notifications And Reports

Section 1. Purpose; Authority

1-1. *Purpose*. The purpose of this Chapter is to ensure delivery of incident and statistical reports by each gaming enterprise to the Gaming Commission which are required by applicable internal control standards or regulation, or which will otherwise assist the Gaming Commission in performing its regulatory responsibilities.
1-2. *Authority.* These rules and regulations are issued under and pursuant to the authority of the Gaming Ordinance, #10-400-01, Gaming Commission Ordinance, #04-400-04, and Commission's Ordinance, #04-150-01.

Section 2. Definitions

2-1. *General.* For purposes of this regulation, certain terms are defined in this section. The word "shall" is always mandatory and not merely advisory. Unless defined elsewhere, terms defined in this Chapter and the Gaming Ordinance and Gaming Commission Ordinance are defined for the purposes of all Gaming Commission regulations.
2-2. *"Licensed Employee"* means any employee who has received a license from the Gaming Commission.
2-3. *"Notification"* means written notice, fax or other electronic transmission Notification required by these regulations is provided -

a. to the Gaming Commission by delivery to the Gaming Commission; or
b. to the General Manager of the gaming enterprise unless the Gaming Commission is notified in writing of a specific employment position which is responsible for accepting notices and reports on behalf of the gaming enterprise.

2-4. *"Report"* means a written document that describes a specific incident and the investigation of such incident, if required by applicable regulation. These documents may be submitted in hard copy, fax, e-mail or other electronic transmissions.
2-5. "Sender" means any person or entity that is sending any document, report or communication via hard copy or electronic transmission.
2-6. *"Slot Conversion"* means the alteration, re-programming or replacement of a gaming machine game program EPROM or other equivalent game software media to change the game program or denomination of any Slot Machine.
2-7. *"Slot Machine Change"* means the physical replacement of a Slot Machine with a new machine or movement of a Slot Machine to a new location on the floor of a gaming enterprise.
2-8 *"Slot Machine Upgrade"* means the replacement of slot machine software with a newer version of the same software, this does not change game theme, payout or game operation.

Section 3. Submission of Required Notifications and Reports

3-1. All notifications or reports required by this regulation, other Gaming Commission regulations, or federal regulations shall be submitted in writing to the Gaming Commission except as provided in Section 8.

3-2. Notifications and reports must be delivered to the Gaming Commission. During non-operational hours of the Gaming Commission, the notifications and reports shall be placed in the mailbox outside the Gaming Commission office unless delivered electronically.
3-3. It is the responsibility of the sender to verify the delivery/receipt of any electronically delivered report, document or communication to the Gaming Commission.

Section 4. Slot Notifications

4-1. *Slot Machine Change*

a. Prior to moving any slot machine to a new location on the gaming floor of any gaming enterprise or changing the orientation of a slot machine, a representative of the gaming enterprise shall provide twenty-four (24) hours notice to the Gaming Commission.

b. The notification to the Gaming Commission must include a complete list of the slot machines proposed to be moved or re-positioned, including the number assigned to such slot machine(s) and the proposed new location(s).

c. Prior to any software upgrades, a representative of the gaming enterprise shall provide twenty-four (24) hours notice to the Gaming Commission.

4-2. *Replacement of Slot Machine; Addition of New Slot Machine*

a. Prior to replacing any slot machine on the gaming floor, or adding a new slot machine to the gaming floor, a representative of the gaming enterprise shall provide five (5) calendar days notice to the Gaming Commission.

b. The notification to the Gaming Commission must include a list of the slot machine(s) proposed to be replaced, including the number assigned to such slot machine(s), the location(s) of such slot machine(s), the theme of the new slot machine, the manufacturer, par sheets, specific paytable identification, approval letters, software type, software number(s) and any other information requested by the Gaming Commission or its staff.

4-3. An updated Slot floor plan shall be submitted to the Gaming Commission no later than 24 hours (1 calendar day) after the movement, replacement or addition of any Slot machine.

4-4. *Slot Machine Game Conversion*

a. Prior to conversion of any slot machine game or denomination conversion, a representative of the gaming enterprise shall provide not less than five (5) calendar days notice to the Gaming Commission.

b. The notification to the Gaming Commission must include a list of the slot machine(s) proposed to be converted, including the number assigned to such slot machine(s), the location(s) of such slot machine(s), the name of the new game, the manufacturer, par sheets, specific paytable identification, approval letters, software type, software number(s) (if applicable) and any other information required by the Gaming Commission or its staff.

Section 5. Table Games Notifications

5-1. *New Table Games.* Before any new table game is introduced at a gaming enterprise management of the gaming enterprise must complete the following requirements:

a. A written agenda request seeking approval must be submitted to the Gaming Commission not less than 20 calendar days prior to the proposed start date.
b. All proposed rules and procedures must accompany the approval request.

5-2. *Table Moves.* Before any existing table game is moved to a new location on the gaming floor, the Gaming Commission must receive not less than twenty-four (24) hours advance notice. The Gaming Commission must also verify appropriate Surveillance coverage, prior to game re-open.

Section 6. Camera Coverage Notification

6-1. *Existing Camera Coverage.* The gaming enterprise shall provide the Gaming Commission with a 3-day advance notice for requests for changes to the existing camera coverage.

6-2. Progressives. The gaming enterprise shall provide the Gaming Commission with a 3-day advanced notice for requests to add or change camera coverage for any progressive machine(s) or table(s) that require coverage.

6-3. Where camera coverage is not requested 3 days in advance, the gaming enterprise shall be charged $1,000.00 to cover costs associated with changing or resetting a camera.

6-4. The gaming enterprise shall confirm with the Surveillance Department that any addition of signage, movement of slot machines or introduction of other equipment to the gaming floor does not inhibit coverage prior to the use of such items or equipment.

Section 7. Reports

7-1. The management of a gaming enterprise shall ensure that the Gaming Commission is provided copies of the following reports within the time periods prescribed in this section.

7-2. The types of reports identified in this section are the more significant ones noted in the MICS; however, there are other reports that the MICS require the gaming enterprise to generate and forward to the Gaming Commission.

Report Type	Time for Receipt of Report
a. Security Incident Reports	Daily submittal by 4:00 p.m. the following business day.
b. Variance Reports 1. Cage Variances (individual counts; reports of investigation of discrepencies (Tribal MICS 10-3b 2. Slot Variances (including coin-to-drop meter reading vs. actual drop; actual currency drop vs. bill-in meter reading; exception report inspection/investigation	Daily submittal by 4:00 p.m. the following business day.

reports)(Tribal MICS 9-11 d, e,f and g) 3. Daily recap for table games (Tribal MICS 8-10f)	
c. Accounting and Auditing Standards Reports 1. Monthly reconciliation of cage accountability to general ledger (Tribal MICS 10-5 a); 2. Monthly trial balance of accounts receivable reconciled to general ledger (Tribal MICS 10-5 b); 3. Statistical reports from evaluation of theoretical vs. actual hold percentages for electronic games (Tribal MICS 9-8 n); 4. Analysis of table games performance standards (Tribal MICS 8-9); 5. Investigation reports for variances or exceptions noted (Tribal MICS 9-11 e and 8-10); and 6. Other reports required by Internal Control Standards (i.e. Tribal MICS 9-11 b;) by the Tribal/Federal Regulation or the Tribal-State Compact.	Monthly (on or before the 15th of each month. **Submitted within three (3) calendar days following written request by the Gaming Commission**
d. Daily and Monthly Manager's Reports	Daily submittal by 4:00 p.m. the following calendar day. Monthly submittal to be submitted on or before the 5th of each month.
e. Personnel Action Reports involving the following: 1. Change in address/telephone of licensed employee. 2. Suspension of any licensed employee. 3. Termination (voluntary or involuntary) of any licensed employee. 4. Promotion or other job change of licensed employee	Submit by 4:00 p.m. – 5 calendar days following action.

f. Updated Floor Plan for all Slot Machines.	Monthly (on or before the 1st Friday of each month)
g. Exception Notices 1. Compliance 2. Auditing	Monthly (on or before the 10th of each month)
h. Cash Transaction Reports	As generated; submitted by 4:00 p.m. the first calendar day following generation.
i. Suspicious Activity Reports	As generated; submitted by 4:00 p.m. the first calendar day following generation.
j. Slot Machine Numbers and Locations	Monthly (on or before the 5th of each month)
k. Service Vendor Program 1. Full and Current list of approved Service Vendors* 2. Tracking of year-to date sales by or compensation paid to each approved Service Vendor* 3. Service Vendors which the gaming enterprise has refused to conduct business with or suspended business as a result of investigation findings**	*Monthly (on or before the 19th of each month) **As generated; submitted by 4:00 p.m. the first calendar day following generation.
l. Verification of Payments Verification that required payments have been submitted to NIGC, and state and local payments	Immediately
m. Health & Safety Inspection Reports Inspections conducted by Inter-Tribal Council of Michigan	Upon receipt
n. System Failure Notification 1. Failure of Slot Accounting System 2. Failure of any Progressive System 3. Property Power Failure	Immediately (verbal notification) to Surveillance and the Director
o. External Enforcement Actions 1. Internal Revnue Service 2. State of Michigan 3. Any other external regulatory agency	Within 24 hours of receipt of any enforcement action

Section 8. Required Notification to the Gaming Commission

8-1. The Gaming Commission's Surveillance Department shall be immediately notified of the occurrence of the following events by a representative of the gaming enterprise. For purposes of this section, the term "immediately notified" means verbal notification (via radio or telephone) as soon as practical after a representative of the gaming enterprise becomes aware of the occurrence of the event.

a. A jackpot of $1,200.00 or greater from any slot machine;
b. A payout and/or jackpot of $10,000.00 or greater from any table game;
c. Accident or other incident resulting in damage to gaming equipment or electronic data processing (EDP) equipment used in connection with gaming operations;
d. A felonious act that was committed on the property of the gaming enterprise;
e. The arrest of any person at the gaming enterprise;
f. If an outside law enforcement agency contacts representatives of the gaming enterprise as part of their official duties.
g. All jackpots of $35,000.00 or greater from either a slot machine or table game. The Gaming Commission Compliance Department must verify the jackpot **before** a gaming enterprise can pay out any such jackpot.
h. Action to restrict a prior employee from the gaming enterprise property.

8-2. *Adoption, Amendment, Repeal of Internal Controls; Processes*

a. Approval of any changes or deletions to any system of internal control standards, procedures or documents must be requested from the Gaming Commission in writing 20 calendar days from the proposed start date.
b. The Gaming Commission may provide, by resolution or order, exception to the approval processes.

Section 9. Job Descriptions

9-1. The Human Resources Department must forward to the Gaming Commission a copy of all job descriptions that are posted, for where an individual is employed under the job descriptions, and all job descriptions which are modified or discontinued.

Section 10. Failure to Comply

10-1. Failure to comply with any required reporting requirements set forth in this chapter may result in the following fines, unless defined otherwise by Gaming Commission Order.

a. Warning – first offense
b. $200.00 – second offense
c. $500.00 – third offense
d. $1,000.00 – for failure to submit any report identified in Section 8

10-2. Offenses shall be cumulative within a six month period from the date of the last offense.

10-3. All fines under this section are assessed against the gaming enterprise.