

V.C.



**Little River Band of Ottawa Indians
Gaming Commission**

PO Box 337
Manistee, MI 49660-0337
Tel: (231) 723-7755 • Fax: (231) 723-7788

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Report to Tribal Council for the Month of April 2016

I. Purpose, Officers.

This is the monthly report of the Gaming Commission. The purpose of the Commission is to ensure the integrity, honesty and fairness of all gaming activities conducted on the Tribe's Reservation and that such gaming activities be conducted in conformance with the Gaming Ordinance #10-400-01, Rules and Regulations promulgated by the Gaming Commission, the Indian Gaming Regulatory Act, and any applicable Class III gaming compact or Class III gaming rules.

Dave Corey, Chairperson
Debra Davis, Secretary
Bill Willis, Commissioner
Julie Wolfe, Commissioner

II. Activities during the Past Month:

During the month of April the Gaming Commission:
- held four regular meetings

III. Concerns/Requests:

IV. Attachments. The following documents are attached to this report.

Minutes:

1. March 22, 2016
2. April 5, 2016
3. April 12, 2016
4. April 19, 2016

Resolutions:

1. Gaming Commission Resolution #GC16-0405-05 Approval of Expenditure from North American Video for One (1) Transceiver, One (1) Transmitter, One (1) 8 Channel Transmitter, One (1) 8 Channel Video Receiver, Four (4) Power Supplies, and Four (4) Fiber Cables in the Amount of \$5,412.60
2. Gaming Commission Resolution #GC16-0412-06 Approval of Expenditure from North American Video for Ten (10) Delta Dome Cameras in the Amount of \$11,645.60

3. Gaming Commission Resolution #GC16-0412-07 Approval of Expenditure from MacAllister Rentals for One (1) 2016 JLG 20 MVL Lift in the Amount of \$15,045.00

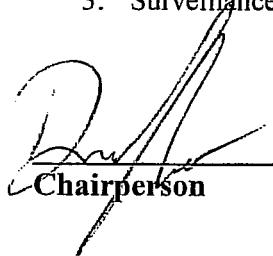
Commission Orders:

1. Gaming Commission Order #GC16-0426-02 Granting USI Insurance Services, LLC Exemption from the Licensing Requirements

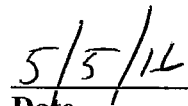
Other:

Reports:

1. Administrative, Licensing, and Background Investigations
2. Compliance Department
3. Surveillance Department



Chairperson



Date

**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
March 22, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 7:22 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Dave Corey, Debra Davis, Bill Willis, Julie Wolfe
Commission Staff: Kelly Maser
Others: Rebecca Liebing

Approval of Open Session Agenda:

a) March 22, 2016

Action: B. Willis made a motion to approve the Open Session Agenda for March 22, 2016 as presented. **Seconded** by D. Corey

Roll Call: D. Corey – Yes / D. Davis – Yes / B. Willis – Yes / J. Wolfe – Yes / 4–Yes, 0–No, 0–Abstaining, 0–Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) March 11, 2016

Action: J. Wolfe made a motion to approve the Open Session Minutes for March 11, 2016 as presented. **Seconded** by D. Davis

Roll Call: D. Davis – Yes / J. Wolfe – Yes / B. Willis – Yes / D. Corey – Yes / 4–Yes, 0–No, 0–Abstaining, 0–Absent. **MOTION CARRIED**

b) March 15, 2016

Action: J. Wolfe made a motion to approve the Open Session Minutes for March 15, 2016 as presented. **Seconded** by D. Corey

Roll Call: D. Davis – Yes / J. Wolfe – Yes / B. Willis – Yes / D. Corey – Yes / 4–Yes, 0–No, 0–Abstaining, 0–Absent. **MOTION CARRIED**

Old Business:

None

New Business:

None

Discussion Period:

Kelly – Draft Audit Reports

Kelly – BOD meeting Friday, March 25, 2016 at 10:00 a.m.

Kelly – Tour of the gaming enterprise and surveillance prior to meeting

Next Gaming Commission Meeting:

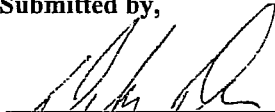
a) April 5, 2016 at 5:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 7:33 p.m. Seconded by D. Davis

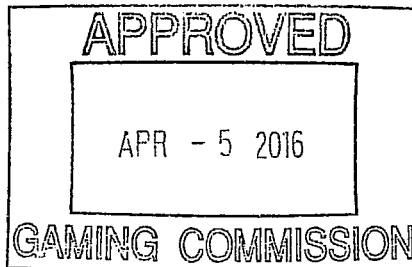
Roll Call: D. Davis – Yes / D. Corey – Yes / B. Willis – Yes / J. Wolfe – Yes / 4–Yes, 0–No, 0–Abstaining, 0–Absent. **MOTION CARRIED**

Submitted by,


Debra Davis, Secretary

4-5-16
Date

Items moved to Open Session:



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
April 5, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:29 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Dave Corey, Debra Davis, Bill Willis, Julie Wolfe
Commission Staff: Kelly Maser, Connie Lindsay, Martin Moore
Others: Rebecca Liebing, Lee Iverson, Joseph Riley

Approval of Open Session Agenda:

a) April 5, 2016

Action: D. Corey made a motion to approve the Open Session Agenda for April 5, 2016 with the addition of New Business item "a". **Seconded by B. Willis**

Roll Call: D. Corey – Yes / D. Davis – Yes / B. Willis – Yes / J. Wolfe – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent.
MOTION CARRIED

Approval of Open Session Minutes:

a) March 22, 2016

Action: B. Willis made a motion to approve the Open Session Minutes for March 22, 2016 as presented. **Seconded by D. Corey**

Roll Call: D. Davis – Yes / J. Wolfe – Yes / B. Willis – Yes / D. Corey – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent.
MOTION CARRIED

Old Business:
None

New Business:

a) Approval of Expenditure from North American Video for One (1) Transceiver, One (1) Transmitter, One (1) 8-Channel Transmitter, One (1) 8-Channel Video Receiver, Four (4) Power Supplies, and Four (4) Fiber Cables in the Amount of \$5,412.60

Action: D. Corey made a motion to approve Gaming Commission Resolution #GC16-0405-05 approving the expenditure from North American Video in the amount of \$5,412.60. **Seconded by J. Wolfe**

Roll Call: D. Davis – Yes / B. Willis – Yes / J. Wolfe – Yes / D. Corey – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent.
MOTION CARRIED

Discussion Period:

- a) Lee – Manager's meeting give accolades to Surveillance (thanks)**
- b) Kelly – Audit Presentation**

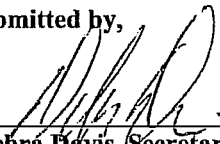
Next Gaming Commission Meeting:

a) April 12, 2016 at 5:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 5:42 p.m. **Seconded by B. Willis**
Roll Call: D. Davis – Yes / D. Corey – Yes / B. Willis – Yes / J. Wolfe – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent.
MOTION CARRIED

Submitted by,



Debra Davis, Secretary

Date

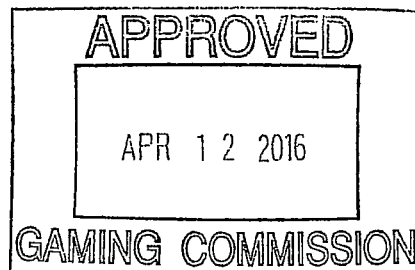
Items moved to Open Session:

a) Jackpine Press, Inc.

Action: D. Corey made a motion for the approval of a Non-Gaming Vendor License renewal for Jackpine Press, Inc. effective June 29, 2016 and expiring June 29, 2017. **Seconded by B. Willis**
Roll Call: D. Corey – Yes / J. Wolfe – Yes / B. Willis – Yes / D. Davis – Yes / 4-Yes- 0-no, 0-abstaining, 0-absent **MOTION CARRIED**

b) JCM American Corporation

Action: D. Corey made a motion for the approval of a Gaming Vendor License renewal for JCM American Corporation effective May 6, 2016 and expiring May 6, 2017. **Seconded by D. Davis**
Roll Call: D. Corey – Yes / B. Willis – Yes / D. Davis – Yes / J. Wolfe – Yes / 4-Yes- 0-no, 0-abstaining, 0-absent **MOTION CARRIED**



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
April 12, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:40 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Dave Corey, Debra Davis, Bill Willis, Julie Wolfe (absent)
Commission Staff: Kelly Maser, Erford Edmondson, Connie Lindsay
Others: Rebecca Liebing, Lee Iverson, Joseph Riley, Bailey Riley

Approval of Open Session Agenda:

a) April 12, 2016

Action: D. Corey made a motion to approve the Open Session Agenda for April 12, 2016 with the addition of New Business item "b" – Approval of Expenditure from MacAllister Rentals for \$15,045.00. **Seconded by B. Willis**
Roll Call: J. Wolfe – Absent / D. Davis – Yes / B. Willis – Yes / D. Corey – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) April 5, 2016

Action: D. Corey made a motion to approve the Open Session Minutes for April 5, 2016 as presented. **Seconded by B. Willis**
Roll Call: D. Davis – Yes / B. Willis – Yes / D. Corey – Yes / J. Wolfe – Absent / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Old Business:
None

New Business:

a) Approval of Expenditure from North American Video for Ten (10) Delta Dome Cameras in the Amount of \$11,645.60

Action: D. Corey made a motion to approve Gaming Commission Resolution #GC16-0412-06 for North American Video in the amount of \$11,645.60. **Seconded by B. Willis**
Roll Call: D. Davis – Yes / B. Willis – Yes / J. Wolfe – Absent / D. Corey – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

b) Approval of Expenditure from MacAllister Rentals for One (1) 2016 JLG 20 MVL Lift in the Amount of \$15,045.00

Action: D. Corey made a motion to approve Gaming Commission Resolution #GC16-0412-07 approving the expenditure from MacAllister Rentals in the amount of \$15,045.00. **Seconded by D. Davis**
Roll Call: D. Corey – Yes / J. Wolfe – Absent / B. Willis – Yes / D. Davis – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Discussion Period:

- a) Erf – Compliance Officer kudos (audits, renovation projects)**
- b) Kelly – FY2015 Financial Statement and AUP (MICS) Audit Reports to be submitted to NIGC**
- c) Kelly – NIGC Site Visit**
- d) Lee – Internal Control Assessment**

Next Gaming Commission Meeting:

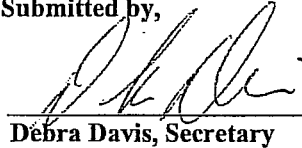
a) April 19, 2016 at 5:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 5:42 p.m. Seconded by B. Willis

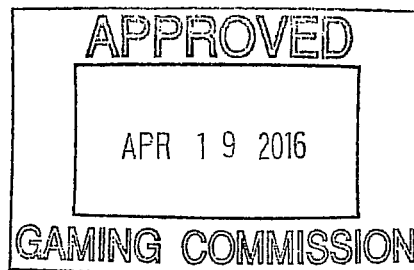
Roll Call: D. Corey – Yes / D. Davis – Yes / B. Willis – Yes / J. Wolfe – Absent / 3-Yes, 0-No, 0-Abstain, 1-Absent. MOTION CARRIED

Submitted by,


Debra Davis, Secretary

4-19-16
Date

Items moved to Open Session:



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
April 19, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:44 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Dave Corey, Debra Davis, Julie Wolfe, Bill Willis (absent)
Commission Staff: Kelly Maser
Others: Rebecca Liebing, Lee Iverson, Joseph Riley

Approval of Open Session Agenda:

a) April 19, 2016

Action: J. Wolfe made a motion to approve the Open Session Agenda for April 19, 2016 as presented. **Seconded by D. Corey**

Roll Call: J. Wolfe – Yes / D. Davis – Yes / B. Willis – Absent / D. Corey – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) April 12, 2016

Action: D. Corey made a motion to approve the Open Session Minutes for April 12, 2016 adding “to be” in item “a” under Discussion Period. **Seconded by D. Davis**

Roll Call: D. Davis – Yes / B. Willis – Absent / D. Corey – Yes / J. Wolfe – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Old Business:

None

New Business:

None

Discussion Period:

- a) Kelly – Update on FY2015 Financial Statement and AUP (MICS) Audit Reports to NIGC
- b) Kelly – BOD Meeting on Friday, April 22, 2015
- c) Lee – Pull tab conversation
- d) Lee – Finance P&P's and Food & Beverage P&P's
- e) Lee – Potential elimination of SICS

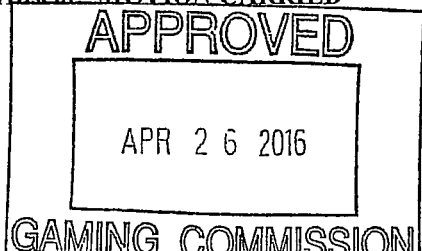
Next Gaming Commission Meeting:

- a) April 26, 2016 at 5:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 5:56p.m. **Seconded by D. Davis**

Roll Call: D. Corey – Yes / D. Davis – Yes / B. Willis – Absent / J. Wolfe – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**



Submitted by,


Debra Davis, Secretary

4-26-16
Date

Items moved to Open Session:

a) Ainsworth Game Technology, Inc.

Action: D. Corey made a motion to approve the renewal Gaming Vendor License for Ainsworth Game Technology, Inc. effective May 21, 2016 and expiring May 21, 2017. **Seconded by D. Davis**

Roll Call: D. Davis – Yes / B. Willis – Absent / D. Corey – Yes / J. Wolfe – Yes / 3-Yes, 0-No, 0-Abstaining, 1-Absent. **MOTION CARRIED**

b) Incredible Technologies, Inc.

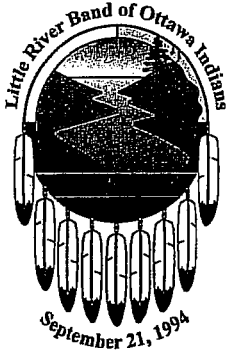
Action: D. Corey made a motion to approve the renewal Gaming Vendor License for Incredible Technologies, Inc. effective May 20, 2016 and expiring May 20, 2017. **Seconded by D. Davis**

Roll Call: B. Willis – Absent / D. Corey – Yes / D. Davis – Yes / J. Wolfe – Yes / 3-Yes, 0-No, 0-Abstaining, 1-Absent. **MOTION CARRIED**

c) Grand Traverse Mobile Communications, Inc.

Action: D. Corey made a motion to approve the Non-Gaming Vendor License for Grand Traverse Mobile Communications, Inc. effective April 19, 2016 and expiring April 19 2017. **Seconded by D. Davis**

Roll Call: J. Wolfe - Yes / D. Davis – Yes / D. Corey – Yes / B. Willis - Absent / 3-Yes, 0-No, 0-Abstaining, 1-Absent. **MOTION CARRIED**



**Little River Band of Ottawa Indians
Gaming Commission**

PO Box 337
Manistee, MI 49660-0337
Tel: (231) 723-7755 • Fax: (231) 723-7788

Gaming Commission Resolution #GC16-0405-05

**Approval of Expenditure from North American Video
for One (1) Transceiver, One (1) Transmitter, One (1) 8 Channel Transmitter, One
(1) 8 Channel Video Receiver, Four (4) Power Supplies, and Four (4) Fiber Cables
in the Amount of \$5,412.60**

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 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 surveillance digital system requires properly functioning equipment to operate and due to renovations, cameras needs to be added; and

WHEREAS, the Surveillance Department budget does include funds to cover this expenditure and a quote was obtained from North American Video for the purchase of One (1) Transceiver, One (1) Transmitter, One (1) 8 Channel Transmitter, One (1) 8 Channel Video receiver, Four (4) Power Supplies, and Four (4) Fiber Cables in the Amount of \$5,412.60; and

WHEREAS, the preferred vendor (sole source) for the purchase of this equipment is North American Video based on the fact that these cameras will be compatible with the other equipment within the department that has been purchased through North American Video; and

LRGC Resolution #GC16-0405-DS

Approval of Expenditure from North American Video for One (1) Transceiver, One (1) Transmitter, One (1) 8 Channel Transmitter, One (1) 8 Channel Video receiver, Four (4) Power Supplies, And Four (4) Fiber Cables in the Amount of \$5,412.60
Page Two

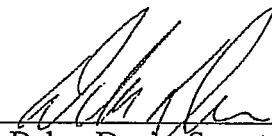
WHEREAS, Gaming Commission Resolution #14-0820-258 designates actions greater than \$2,500.00 require Gaming Commission approval by resolution.

NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby approves the expenditure of One (1) Transceiver, One (1) Transmitter, One (1) 8 Channel Transmitter, One (1) 8 Channel Video receiver, Four (4) Power Supplies, and Four (4) Fiber Cables in the Amount of \$5,412.60 from the approved 2016 Gaming Commission Surveillance Department budget (from Account #1030-120, Line Item #5601);

Certificate of Adoption

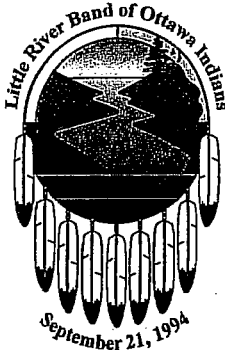
I, Debra Davis, Secretary of the Little River Band of Ottawa Indians Gaming Commission, do hereby certify that this resolution was adopted on April 5, 2016 by a vote of __ in favor, __ opposed, and __ abstentions and __ absent. This resolution has not been amended or rescinded in any way.

Attest:



Debra Davis, Secretary

Distribution: Commission Records
Tribal Council Liaison



**Little River Band of Ottawa Indians
Gaming Commission**

PO Box 337
Manistee, MI 49660-0337
Tel: (231) 723-7755 • Fax: (231) 723-7788

Gaming Commission Resolution #GC16-0412-06

**Approval of Expenditure from North American Video
for Ten (10) Delta Dome Cameras
in the Amount of \$11,645.60**

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 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 surveillance digital system requires properly functioning equipment to operate and due to aging equipment, cameras need to be replaced; and

WHEREAS, the Surveillance Department budget does include funds to cover this expenditure and a quote was obtained from North American Video for the purchase of Ten (10) Delta Dome Cameras in the Amount of \$11,645.60; and

WHEREAS, the preferred vendor (sole source) for the purchase of this equipment is North American Video based on the fact that these cameras will be compatible with the other equipment within the department that has been purchased through North American Video; and

LRGC Resolution #GC16-0412-DLe
Approval of Expenditure from North American Video
Ten (10) Delta Dome Cameras
in the Amount of \$11,645.60
Page Two

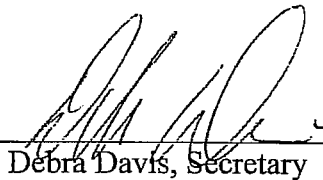
WHEREAS, Gaming Commission Resolution #14-0820-258 designates actions greater than \$2,500.00 require Gaming Commission approval by resolution.

NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby approves the expenditure of Ten (10) Delta Dome Cameras in the Amount of \$11,645.60 from the approved 2016 Gaming Commission Surveillance Department budget (from Account #1030-120, Line Item #5601);

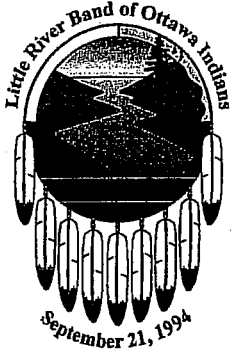
Certificate of Adoption

I, Debra Davis, Secretary of the Little River Band of Ottawa Indians Gaming Commission, do hereby certify that this resolution was adopted on April 12, 2016 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:


Debra Davis, Secretary

Distribution: Commission Records
Tribal Council Liaison



**Little River Band of Ottawa Indians
Gaming Commission**

PO Box 337
Manistee, MI 49660-0337
Tel: (231) 723-7755 • Fax: (231) 723-7788

Gaming Commission Resolution #GC16-0412-07

**Approval of Expenditure from MacAllister Rentals
for One (1) 2016 JLG 20 MVL Lift
in the Amount of \$15,045.00**

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 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 current surveillance department aerial lift is no longer functional and needs to be replaced; and

WHEREAS, quotes were solicited for a new aerial lift and five proposals were received to replace the current 2004 JLG 20DVL Lift with a 2016 JLG 20MVL Lift and review, MacAllister Rentals was chosen based on price and their assistance with disposal of the current lift; and

WHEREAS, Gaming Commission Resolution #14-0820-258 designates actions greater than \$2,500.00 require Gaming Commission approval and greater than \$12,000.01 requires Tribal Council approval by resolution.

LRGC Resolution #GC16-0412-07
Approval of Expenditure from MacAllister Rentals
One (1) 2016 JLG 20 MVL Lift in the Amount
of \$15,045.00
Page Two

NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby approves the expenditure of One (1) 2016 JLG 20 MVL Lift in the Amount of \$15,045.00 from the approved 2016 Gaming Commission Surveillance Department budget (from Account #1030-120, Line Item #6100).

IT IS FINALLY RESOLVED THAT the quote will be forwarded to the Tribal Council of the Little River Band of Ottawa Indians requesting the quote be approved for execution.

Certificate of Adoption

I, Debra Davis, Secretary of the Little River Band of Ottawa Indians Gaming Commission, do hereby certify that this resolution was adopted on April 12, 2016 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:



Debra Davis, Secretary

Distribution: Commission Records
Tribal Council Liaison



Little River Band of Ottawa Indians
GAMING COMMISSION
2840 Orchard Highway, Suite A
Manistee MI 49660
(231) 723-7755

GAMING COMMISSION ORDER #GC16-0426-02

**GRANTING USI INSURANCE SERVICES, LLC EXEMPTION
FROM THE LICENSING REQUIREMENTS**

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 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 has in Gaming Commission Ordinance # 04-400-04, 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, federal, and applicable state laws governing the conduct of gaming conducted on the Tribe's reservation; and

WHEREAS, in Section 6.01 of Gaming Commission Ordinance, the Gaming Commission is authorized to promulgate rules and regulations as may be necessary to interpret and implement the NIGC and Tribal Council approved Gaming Ordinance #10-400-01 and to establish regulatory systems to effectuate the powers granted by ordinances of the Tribe and other duties imposed by applicable law; and

WHEREAS, the Gaming Ordinance – Article VIII – Section 8.04 states that no vendor shall contract with any gaming enterprise within the jurisdiction of the Tribe unless licensed by the regulatory agency in accordance with Article XI; and

WHEREAS, Chapter 6 – Section 3-1 of the Tribal Council approved Gaming Commission regulations states that every person supplying any gaming equipment or supplies, gaming service, or other goods and services to a gaming enterprise must obtain a Gaming Vendor License or a Non-Gaming Vendor License unless exempted from licensing requirements pursuant to Section 3-4 or Section 3-5 or meeting the definition of Service Vendor; and

WHEREAS, Chapter 6 – Section 3-2 of the Tribal Council approved Gaming Commission regulations states that the gaming enterprise shall be responsible for notifying any person with which it is considering conducting business of the licensing requirements prior to contracting with such person; and

WHEREAS, Chapter 6 – Section 3-3 of the Tribal Council approved Gaming Commission regulations states that prior to the purchase of any gaming equipment or supplies, gaming service, or other goods and services from any person, the gaming enterprise shall determine if such person possesses or is required to possess, a Gaming Vendor License or Non-Gaming Vendor License under these regulations and forward a written “Notice of Intent to Conduct Business” to the Gaming Commission. The “Notice of Intent to Conduct Business” shall describe the equipment, supplies or services to be provided by the vendor, together with a good faith estimate of the annual dollar amount of the projected purchases from the vendor. The gaming enterprise may not commit to any binding contracts or business transactions until the vendor has been licensed; and

WHEREAS, Chapter 6 – Section 3-4 (b) of the Tribal Council approved Gaming Commission regulations states that the Gaming Commission, at its sole discretion, may exempt persons (or businesses) from vendor licensing requirements in certain highly regulated fields; and

WHEREAS, Chapter 6 – Section 3-6 of the Tribal Council approved Gaming Commission regulations states that the gaming enterprise is prohibited from entering into any contract until the vendor has been exempted by the Gaming Commission. Vendors granted an exemption by the Gaming Commission shall be required to provide a completed Conflict of Interest Disclosure in a form satisfactory to the Gaming Commission prior to the commencement of business with the gaming enterprise; and

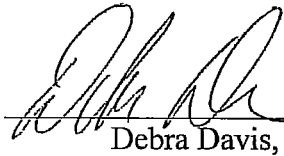
WHEREAS, the gaming enterprise has requested an exemption from the vendor licensing requirements for USI Insurance Services, LLC.

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that USI Insurance Services, LLC shall be exempted from the licensing requirements for purposes of providing insurance related services for the Little River Casino Resort.

Certificate of Adoption

I, Debra Davis, Secretary of the Little River Band of Ottawa Indians Gaming Commission do hereby certify that this order was approved on April 26, 2016 by a vote of 4 in favor, 0 opposed, and 0 abstentions and 0 absent. This order has not been amended or rescinded in any way.

Attest:



Debra Davis, Secretary

Distribution: Commission Records
 Little River Casino Resort
 Tribal Council Recorder
 USI Insurance Services, LLC



Little River Band of Ottawa Indians Gaming Commission

PO Box 337

Manistee, MI 49660-0337

Tel: (231) 723-7755 • Fax: (231) 723-7788

Memo

Aániipiish Epiidek (To): Little River Band of Ottawa Indians Gaming Commission

Binjibidek (From): Kelly Maser, Director of Gaming Regulatory & Compliance 

Maánda Naásaáp (cc):

Naángwa (Date): May 2, 2016

Maánda Nji (Re): Administrative and Licensing – April 2016 Monthly Report

Background Investigator/Administrative Assistant – April 2016

- Employee Licensee changes (HR notification)
 - 13 address changes
 - 1 name changes
 - 16 transfers
 - 11 voluntary terminations
 - 4 discharges

All daily correspondences regarding licensees are put into the respective files.

- 108 Employee license renewals
 - 3 Gaming
 - 45 Non-Gaming
 - 0 PMO
 - 0 Reinstatements
 - 0 Deaths
- New Employee licenses issued
 - 5 Gaming
 - 18 Non-Gaming
- 134 Credit Reports
- 134 Sex Offender Reports
- 182 Reference letters processed
- Processed 91 60-day renewal letters for employee license holders
- July reminder cards processed
- Processed court letters for the employee license applicants

Background Investigator – April 2016

- Applications/Files/Investigations Reviewed
 - New Hire 28
 - Renewal 65
 - Upgrade 6
- Vendor Files/Investigations Reviewed
 - New 1
 - Renewal 4
- Interviews Conducted
 - Employee License 24
- Criminal History Record Checks
 - Employee License 94
- Sex Offender Record Checks
 - Employee License 2
- Accurate Record Checks
 - Driving Record 23
 - Felony/Misdemeanor 17
- Credit Reports 0
- Fingerprints Taken
 - Employee License 6
- Licenses Verified
 - Employee License 5
 - Vendor 5
- License Issues
 - Expired/Invalid 7
 - Seized Temp. 0
 - Up Front Denials 2
 - Suspended 0
- Suitability Reports Filed
 - NOR's 3
 - Lic. Determinations 2
- Applications Notarized 15
- GC Appeal Hearings
 - Employee License 0
 - Vendor License 0
 - Rehabilitation 0
- Rehabilitation for Licensure Ordinance Applicants
 - Certificates Issued (Gaming Commission Issued/Approved) 0
 - Denials Issued (Gaming Commission Issued/Approved) 0
- Tribal Emergency Ops Mtgs. 0 (total hours)

The Background Investigator sits on the Tribal Emergency Operation Committee. He currently serves as the Incident Commander for the Tribal Emergency Operations Team (TERT).

** Administrative Assistant(s) supports/assists the Background Investigator in the licensing process which includes initial contact with applicant explaining the application and requirements, cursory review of application and attachments upon return to ensure completeness prior to handing all over to the Background Investigator, entry of information to the database/files as well as tracking requirements, runs credit checks and sex offender registry reports (when requested), notarizes forms, and schedules appointments for the Background Investigator.*

Executive Assistant – April 2016

- 1 application sent to prospective new vendors (Gaming/Non-Gaming)
- 7 renewal applications sent to vendors (Gaming/Non-Gaming)
- 6 vendor licenses processed (Gaming/Non-Gaming)
- Received Gaming vendor applications and reviewed for completeness
 - 1 Corporate History Disclosure Form
 - 5 Personal History Disclosure Form
- 1 investigations initiated on vendors
- ~~5 investigations initiated on vendor control persons~~
- 2 investigations for vendors reviewed
- 4 investigations for control persons reviewed
- Conducted numerous personal and trade reference checks for vendors
- Ran numerous Sex Offender Reports on vendor control persons
- Conducted numerous license verifications on vendors and control persons
- 3 Dunn & Bradstreet reports ran on vendors
- 8 Gaming Commission meeting agendas prepared
 - 24 Gaming Commission meeting packets assembled and distributed
- 8 sets of Gaming Commission meeting minutes reviewed for discrepancies/errors
- 1 Tribal Council monthly report compiled for the Gaming Commission
- 1 Tribal Council resolution drafted
- 1 Tribal Council agenda request packed prepared
- Reviewed LRCA Accounts Payable List
- Assisted 27 licensees in the initial licensing and renewal process (completion of application and notarizing)
- Continuously working on records retention/destruction process (on-going project)
- 1 Raffle license processed

** Executive Assistant supports/assists the Background Investigator in the vendor licensing process which includes initial contact with vendor (and control persons when applicable) explaining the application and requirements, cursory review of application and attachments upon return to ensure completeness. Initiates investigations, runs Dunn & Bradstreet Reports, conducts license verifications, processes personal reference check paperwork, and enters appropriate information into database/files. Also prepares all renewal and initial licensing application letters and sends out licensing packets. Upon completion of all above, entire file is provided to the Background Investigator for review and consideration for placement before the Gaming Commission for approval. All vendor licenses must be approved by the Gaming Commission.*