

**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 September 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 September the Gaming Commission:
- held three regular meetings

III. Concerns/Requests:

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

Minutes:

1. August 23, 2016
2. September 6, 2016
3. September 13, 2016

Resolutions:

1. Gaming Commission Resolution #GC16-0906-11 Approval of Revised Gaming Commission Organizational Chart
2. Gaming Commission Resolution #GC16-0906-12 Approval of Revised Gaming Commission Retention and Destruction Procedure
3. Gaming Commission Resolution #GC16-0927-13 Approval of BSA/AML Compliance Training from Stringfellow Consulting Services Unlimited in the Amount of \$9,500.00 plus Lodging

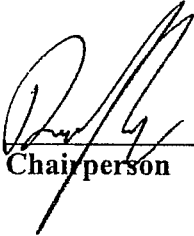
Commission Orders:

1. Gaming Commission Order #GC16-0927-08 Granting One Time Exemption to the Bouma Corporation from Vendor Licensing Requirements
2. Gaming Commission Order #GC16-0927-09 Granting One Time Exemption to R.C. Hendrick & Son, Inc. from Vendor Licensing Requirements
3. Gaming Commission Order #GC16-0927-10 Granting One Time Exemption to Johnson & Wood, LLC from Vendor Licensing Requirements

Other:

Reports:

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


Chairperson

10/4/16
Date

**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
August 23, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:38 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Dave Corey, Julie Wolfe, Bill Willis, Debra Davis (absent)
Commission Staff: Kelly Maser, Erford Edmondson
Others: Rebecca Liebing, Lee Iverson, Barry McGrady, Jonnie Sam

Approval of Open Session Agenda:

a) **August 23, 2016**

Action: J. Wolfe made a motion to approve the Open Session Agenda for August 23, 2016. **Seconded by D. Corey**

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

Approval of Open Session Minutes:

a) **August 16, 2016**

Action: B. Willis made a motion to approve the Open Session Meeting Minutes for August 16, 2016. **Seconded by D. Corey**

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

Old Business:

None

New Business:

None

Discussion Period:

Julie – Night Club

Lee – Updated notice on LRRCR Steak House (opening Sunday – August 28, 2016)

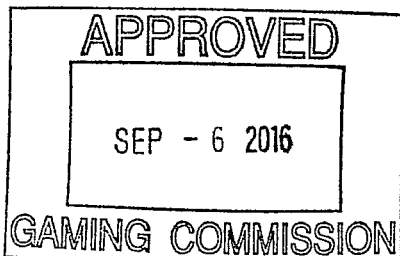
Next Gaming Commission Meeting:

a) **September 6, 2016 at 5:30 p.m. - noting Special Meeting (hearing) scheduled for August 30, 2016**

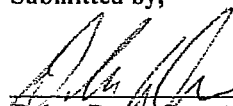
Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 5:43 p.m. **Seconded by B. Willis**

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



Submitted by,


Debra Davis, Secretary

9-6-16
Date

Items moved to Open Session:

**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
September 6, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 6:42 p.m. by Chairperson, Dave Corey

Present:

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

Approval of Open Session Agenda:

a) September 6, 2016

Action: B. Willis made a motion to approve the Open Session Agenda for September 6, 2016 adding New Business B – Cancellation of September 20, 2016 scheduled meeting. **Seconded by D. Corey**

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

Approval of Open Session Minutes:

a) August 23, 2016

Action: J. Wolfe made a motion to approve the Open Session Meeting Minutes for August 23, 2016. **Seconded by B. Willis**

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

Old Business:
None

New Business:

a) Approval to Revised Gaming Commission Organizational Chart

Action: D. Corey made a motion to approving Gaming Commission Resolution #GC16-0906-11 revising the Gaming Commission Organizational Chart. **Seconded by B. Willis**

Roll Call: D. Davis –Yes / J. Wolfe –Yes / D. Corey – Yes / B. Willis – Yes / 4-Yes- 0-no, 0-abstaining, 0-absent
MOTION CARRIED

b) Approval of the Cancellation of the Scheduled September 20, 2016 Gaming Commission Meeting

Action: D. Corey made a motion to cancel the September 20, 2016 Gaming Commission Meeting due to a lack of a quorum. **Seconded by D. Davis**

Roll Call: D. Davis –Yes / J. Wolfe –Yes / D. Corey – Yes / B. Willis – Yes / 4-Yes- 0-no, 0-abstaining, 0-absent
MOTION CARRIED

Discussion Period:

Next Gaming Commission Meeting:

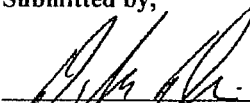
a) September 13, 2016 at 5:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 6:54 p.m. **Seconded by B. Willis**

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

Submitted by,


Dora Davis, Secretary

9-27-16
Date

Items moved to Open Session:

a) JOS Sanders, Inc. d/b/a Sanders Meat

Action: D. Corey made a motion to approve Non-Gaming License renewal application for effective October 6, 2016 and expiring October 6, 2017 for JOS Sanders, Inc. d/b/a Sanders Meat. **Seconded by B. Willis**

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

b) Bay Business Resources, Inc.

Action: D. Corey made a motion to approve Non-Gaming Vendor License renewal for Bay Business Resources, Inc. effective October 9, 2016 and expiring October 9, 2017. **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**

c) Nichols Paper & Supply Company

Action: D. Corey made a motion to approve Non-Gaming Vendor License renewal Nichols Paper & Supply Company effective October 23, 2016 and expiring October 23, 2017. **Seconded by B. Willis**

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

d) Slot Service, Inc.

Action: D. Corey made a motion to approve Gaming Vendor License renewal for Slot Services effective October 20, 2016 and expiring October 20, 2017. **Seconded by D. Davis**

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



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
September 13, 2016
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:34 p.m. by Chairperson, Dave Corey

Present:

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

Approval of Open Session Agenda:

a) September 13, 2016

Action: B. Willis made a motion to approve the Open Session Agenda for September 13, 2016. **Seconded by D. Corey**

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

Approval of Open Session Minutes:

a) September 6, 2016

Action: B. Willis made a motion to approve the Open Session Meeting Minutes for September 6, 2016. **Seconded by D. Corey**

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

Old Business:

None

New Business:

a) Approval to Revised Primary Management Official (PMO) Employee License Application

Action: D. Corey made a motion to approve the revised Primary Management Official Employee License Application. **Seconded by B. Willis**

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

b) Approval of Revised Primary Management Official (PMO) Employee License Renewal Application

Action: D. Corey made a motion to approve the revised Primary Management Official (PMO) Employee License Application Renewal package. **Seconded by B. Willis**

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

Discussion Period:

Erford – Millie Biers retirement
Erford – Developing testing protocol for slot machines
Kelly – No meeting next week
Lee – LRRCR Sponsoring Risk Management Conference (September 15th and 16th)

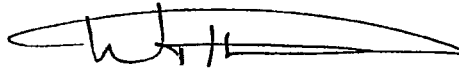
Next Gaming Commission Meeting:

a) September 27, 2016 at 6:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn Open Session meeting at 6:05 p.m. **Seconded by B. Willis**
Roll Call: J. Wolfe – Yes / D. Davis – Absent / D. Corey – Yes / B. Willis – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Submitted by,



Bill Willis, Acting Secretary

9/27/16
Date

Items moved to Open Session:

a) VSR Industries, Inc.

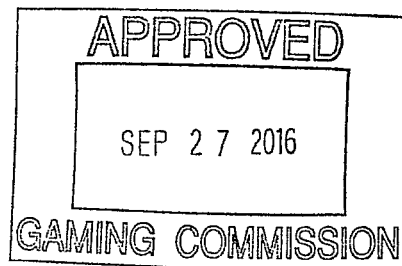
Action: D. Corey made a motion to approve Gaming License renewal application for VSR Industries, Inc. effective October 21, 2016 and expiring October 21, 2017. **Seconded by B. Willis**
Roll Call: B. Willis – Yes / J. Wolfe – Yes / D. Davis – Absent / D. Corey – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

b) Genesis Gaming Solutions, Inc.

Action: D. Corey made a motion to approve the Gaming Vendor License renewal application for Genesis Gaming Solutions, Inc. effective November 8, 2016 and expiring November 8, 2017. **Seconded by B. Willis**
Roll Call: D. Corey – Yes / D. Davis – Absent / B. Willis – Yes / J. Wolfe – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

c) Bally Gaming, Inc. d/b/a Bally Technologies

Action: D. Corey made a motion to approve Gaming Vendor License renewal for Bally Gaming, Inc. d/b/a Bally Technologies effective November 15, 2016 and expiring November 15, 2017. **Seconded by B. Willis**
Roll Call: J. Wolfe – Yes / D. Corey – Yes / D. Davis – Absent / B. Willis – Yes / 3-Yes, 0-No, 0-Abstain, 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 #GC16-0906-11

**APPROVAL OF REVISED GAMING COMMISSION
ORGANIZATIONAL CHART**

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 has, pursuant to 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 and federal laws governing the conduct of Tribally-licensed gaming activities; and

WHEREAS, Section 6.09 of the Gaming Commission Ordinance permits the Gaming Commission to employ such staff as may be required to fulfill the Gaming Commission's responsibilities; and

WHEREAS, Section 6.10 of the Gaming Commission Ordinance requires the Gaming Commission to submit to Tribal Council, for acceptance, the Organizational Chart of the Gaming Commission Department on an annual basis; and

WHEREAS, Section 6.10 of the Gaming Commission Ordinance also requires at a minimum, the organization of the employees of the Commission shall include departments or responsibilities that include surveillance, compliance, and background investigation/licensing; and

WHEREAS, Section 6.03 of the Gaming Commission By-Laws require the Organizational Chart of the Gaming Commission Department be approved by resolution; and

WHEREAS, the Gaming Commission Department's Organizational Chart has been updated to include the position of Internal Auditor which was eliminated in 2013 to assist the Tribe in meeting budgetary constraints.

WHEREAS, the Gaming Commission believes that the Internal Auditor position is critical to the operation of the Gaming Commission in carrying out their delegated regulatory duties and responsibilities.

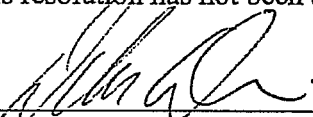
NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby approves the revised Little River Band of Ottawa Indians Gaming Commission Organizational Chart reflecting the addition of the Internal Auditor position to the department structure; and

IT IS FURTHER RESOLVED THAT the revised Organizational Chart be forwarded to Tribal Council for placement on an agenda for acceptance.

Certificate of Adoption

I, Debra Davis, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on September 6, 2016 by a vote of 4 in favor, 0 opposed, and 0 abstentions and 0 absent. This resolution has not been amended or rescinded in any way.

Attest:



Debra Davis, Secretary

Distribution: Commission Records
Tribal Council Liaison



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

Gaming Commission Resolution #GC16-0906-12

APPROVAL OF REVISED GAMING COMMISSION RETENTION AND DESTRUCTION PROCEDURE

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 has, pursuant to Gaming Commission Ordinance No. 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 and federal laws governing the conduct of Tribally-licensed gaming activities; and

WHEREAS, Section 6.04 (a) of the Gaming Commission Ordinance permits the Gaming Commission to promulgate regulations and internal operational procedures of the Gaming Commission and its staff; and

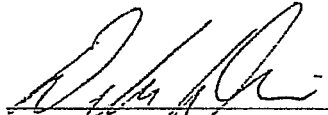
WHEREAS, the Retention and Destruction Procedure was revised and approved by the Gaming Commission on April 22, 2014 and a recent review of the procedure indicated a need to make revisions to bring it up to date with industry standards.

NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby approves the revised Retention and Destruction Procedure and deems it in effect immediately.

Certificate of Adoption

I, Debra Davis, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on September 6, 2016 by a vote of 4 in favor, 0 opposed, and 0 abstentions and 0 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 #GC16-0927-13

**Approval of BSA/AML Compliance Training from Stringfellow Consulting Services
Unlimited in the Amount of \$9,500.00, plus Lodging**

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, pursuant to Gaming Commission Ordinance #04-400-04 – Section 6.02 (g), the Gaming Commission shall arrange for training of Gaming Commissioners, Gaming Commission employees, and others; and

LRGC Resolution #GC16-0927-13
Approval of BSA/AML Compliance Training from Stringfellow Consulting Services
Unlimited in the Amount of \$9,500.00, plus Lodging
Page Two

WHEREAS, pursuant to the Gaming Commission's By-Laws Article III – Section 3.01 (g), the Gaming Commission shall arrange for training of Gaming Commissioners, Gaming Commission employees, and others; and

WHEREAS, the Gaming Commission has negotiated a proposal to engage Stringfellow Consulting Services Unlimited, to provide BSA/AML Compliance" training on-site on December 5-7, 2016; and

WHEREAS, the training will focus on the assessment of Auditing and Comprehension of BSA/AML; examination standards of BSA/AML, including Title 31 Chapter X; OFAC; Privacy Act; Patriot Act; United States Codes; IRS Examination Manuals; HIFCA/HIDTA examination; guidance and statements from FinCEN, including training tools, testing worksheets and audit criteria; and

WHEREAS, this training is unique in the fact that it is designated training specifically for Gaming Commission personnel who perform and oversee audits and inspections of BSA, Title 31, and Anti-Money Laundering programs and procedures.

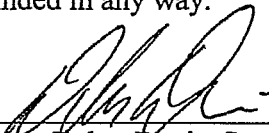
NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby authorizes Stringfellow Consulting Services Unlimited to provide the Gaming Commission staff training December 5, 2016 thru December 7, 2016; and

IT IS FURTHER RESOLVED THAT the Gaming Commission approves payment to Stringfellow Consulting Services Unlimited in the amount of \$9,500.00, plus lodging from the Gaming Commission approved budget #1030-155-5802.

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 September 27, 2016 by a vote of 4 in favor, 0 opposed, and 0 abstentions and 0 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 #GC16-0927-08

**GRANTING ONE TIME EXEMPTION TO THE BOUMA CORPORATION
FROM VENDOR 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 (c) of the Tribal Council approved Gaming Commission regulations states that the Gaming Commission may grant special exemptions from vendor licensing requirements in certain fields providing professional services or unique services under circumstances where the Gaming Commission determines that licensing of the vendor is not necessary to protect the public interest or to accomplish the policies or purposes of the Gaming Ordinance; 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

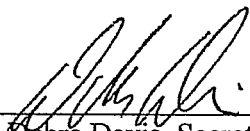
WHEREAS, the gaming enterprise has requested an exemption from the licensing requirements for The Bouma Corporation for purposes of renovating the remaining 50 west hotel rooms for Phase 2 of the renovation project at the Little River Casino Resort.

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that The Bouma Corporation shall be exempted from the licensing requirements strictly for purposes of renovating the 50 west hotel rooms which is in Phase 2 of renovation project at the Little River Casino Resort and this one time exemption will expire at completion of Phase 2.

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 September 27, 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
 The Bouma Corporation



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

GAMING COMMISSION ORDER #GC16-0927-09

**GRANTING ONE TIME EXEMPTION TO R.C. HENDRICK & SON, INC.
FROM VENDOR 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 (c) of the Tribal Council approved Gaming Commission regulations states that the Gaming Commission may grant special exemptions from vendor licensing requirements in certain fields providing professional services or unique services under circumstances where the Gaming Commission determines that licensing of the vendor is not necessary to protect the public interest or to accomplish the policies or purposes of the Gaming Ordinance; 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

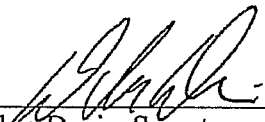
WHEREAS, the gaming enterprise has requested an exemption from the licensing requirements for R.C. Hendrick & Son, Inc. for purposes of renovating the remaining 50 west hotel rooms for Phase 2 of the renovation project at the Little River Casino Resort.

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that R.C. Hendrick & Son, Inc. shall be exempted from the licensing requirements strictly for purposes of renovating the 50 west hotel rooms which is in Phase 2 of renovation project at the Little River Casino Resort and this one time exemption will expire at completion of Phase 2.

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 September 27, 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
 R.C. Hendrick & Son, Inc.



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

GAMING COMMISSION ORDER #GC16-0927-12

**GRANTING ONE TIME EXEMPTION TO JOHNSON & WOOD, LLC
FROM VENDOR 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 (c) of the Tribal Council approved Gaming Commission regulations states that the Gaming Commission may grant special exemptions from vendor licensing requirements in certain fields providing professional services or unique services under circumstances where the Gaming Commission determines that licensing of the vendor is not necessary to protect the public interest or to accomplish the policies or purposes of the Gaming Ordinance; 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 licensing requirements for Johnson & Wood, LLC for purposes of renovating the remaining 50 west hotel rooms for Phase 2 of the renovation project at the Little River Casino Resort.

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that Johnson & Wood, LLC shall be exempted from the licensing requirements strictly for purposes of renovating the 50 west hotel rooms which is in Phase 2 of renovation project at the Little River Casino Resort and this one time exemption will expire at completion of Phase 2.

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 September 27, 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
 Johnson & Wood, 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

Aáńípiísh Epiídek (To): Little River Band of Ottawa Indians Gaming Commission

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

Maánda Naásaáp (cc):

Naángwa (Date): October 3, 2016

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

Background Investigator/Administrative Assistant – September 2016

- Employee Licensee changes (HR notification)
 - 9 address changes
 - 2 name changes
 - 4 transfers
 - 9 voluntary terminations
 - 2 discharges
- All daily correspondences regarding licensees are put into the respective files.*
- 60 Employee license renewals
 - 34 Gaming
 - 23 Non-Gaming
 - 3 PMO
 - 0 Reinstatements
 - 0 Deaths
- New Employee licenses issued
 - 2 Gaming
 - 10 Non-Gaming
- 72 Credit Reports
- 72 Sex Offender Reports
- 53 Reference letters processed
- Processed 38 60-day renewal letters for employee license holders
- December reminder cards processed
- Processed court letters for the employee license applicants

Background Investigator – September 2016

- Applications/Files/Investigations Reviewed
 - New Hire 12
 - Renewal 57
 - Upgrade 0
- Vendor Files/Investigations Reviewed
 - New 0
 - Renewal 6
- Interviews Conducted
 - Employee License 10
- Criminal History Record Checks
 - Employee License 70
- Sex Offender Record Checks
 - Employee License 2
- Accurate Record Checks
 - Driving Record 11
 - Felony/Misdemeanor 9
- Credit Reports 0
- Fingerprints Taken
 - Employee License 1
- Licenses Verified
 - Employee License 4
 - Vendor 7
- License Issues
 - Expired/Invalid 1
 - Seized Temp. 0
 - Up Front Denials 0
 - Suspended 0
- Suitability Reports Filed
 - NOR's 4
 - Lic. Determinations 3
- Applications Notarized 3
- GC Appeal Hearings
 - Employee License 1
 - 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 – September 2016

- 9 vendor licenses processed (Gaming/Non-Gaming)
- 5 renewal applications sent to licensed vendors
- Received Non-Gaming vendor applications and reviewed for completeness
 - 1 Corporate History Disclosure Form
 - 2 Personal History Disclosure Form
- 1 investigations initiated on vendors
- 2 investigations initiated on vendor control persons
- 5 investigations for vendors reviewed
- 6 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
- 1 Dunn & Bradstreet reports ran on vendors
- 6 Gaming Commission meeting agendas prepared
 - 18 Gaming Commission meeting packets assembled and distributed
- 6 sets of Gaming Commission meeting minutes reviewed for discrepancies/errors
- 1 Tribal Council monthly report compiled for the Gaming Commission
- Reviewed LRCR Accounts Payable List
- 1 Raffle license processed
- Assisted 10 licensees in the initial licensing and renewal process (completion of application and notarizing)

** 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.*