

Little River Band of Ottawa Indians Gaming Commission

2840 Orchard Highway, Suite 'A'

Manistee, MI 49660

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

Report to Tribal Council for the Month of January 2018

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
Bill Willis, Secretary
Debra Davis, Commissioner

II. Activities during the Past Month:

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

III. Concerns/Requests:

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

Minutes:

1. December 19, 2017
2. January 2, 2018
3. January 9, 2018
4. January 16, 2018

Resolutions:

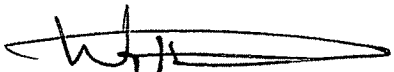
Commission Orders:

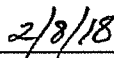
1. Gaming Commission Order #GC18-0116-01 Granting Exemption to RSM US LLP from Vendor Licensing Requirements

Other:

Reports:

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


Secretary


Date

**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
December 19, 2017
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:37 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Debra Davis, Bill Willis (absent), Dave Corey, Julie Wolfe
Commission Staff: Kelly Maser, Erford Edmondson, Connie Lindsay, Martin Moore
Others: Rebecca Liebing, Barry McGrady

Approval of Open Session Agenda:

a) December 19, 2017

Action: D. Davis made a motion to approve Open Session Agenda for December 19, 2017. **Seconded by J. Wolfe**

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

Approval of Open Session Minutes:

a) December 12, 2017

Action: D. Davis made a motion to approve Open Session Meeting Minutes for December 12, 2017. **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**

Old Business:

None

New Business:

a) Approval of ShuffleMaster Safe Shoe for Mini-Baccarat

Action: D. Corey made a motion to approve the ShuffleMaster safe shoe for mini-baccarat. **Seconded by D. Davis**

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

Discussion Period:

**Kelly – External Auditors
Kelly – Lee's holiday greeting**

Next Gaming Commission Meeting

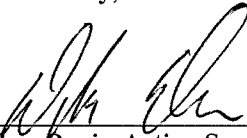
a) January 2, 2018 at 6:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn the Open Session at 5:41 p.m. **Seconded by D. Davis**

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

Submitted by,


Debra Davis, Acting Secretary

1-2-18
Date

Items moved to Open Session:

a) Aruze Gaming America, Inc.

Action: D. Corey made a motion to table to the January 2, 2018 meeting. **Seconded by D. Davis**

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



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
January 2, 2018
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 6:49 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Debra Davis, Bill Willis, Dave Corey
Commission Staff: Kelly Maser
Others: Rebecca Liebing, Joseph Riley (telephone)

Approval of Open Session Agenda:

a) January 2, 2018

Action: B. Willis made a motion to approve Open Session Agenda for January 2, 2018. **Seconded by D. Davis**
Roll Call: D. Corey – Yes / D. Davis – Yes / B. Willis – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) December 19, 2017

Action: D. Davis made a motion to approve Open Session Meeting Minutes for December 19, 2017. **Seconded by D. Corey**
Roll Call: D. Davis – Yes / B. Willis – Yes / D. Corey – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Old Business:

None

New Business:

None

Discussion Period:

Kelly – External Audit Update
Joe – Compliance availability

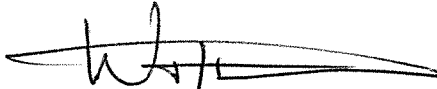
Next Gaming Commission Meeting

a) January 9, 2018 at 5:30 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn the Open Session at 7:01 p.m. **Seconded by B. Willis**
Roll Call: B. Willis – Yes / D. Corey – Yes / D. Davis – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Submitted by,


Bill Willis, Secretary

1/9/18
Date

Items moved to Open Session:

a) Aruze Gaming America, Inc.

Action: D. Corey made a motion to approve Aruze Gaming America, Inc. Gaming Vendor renewal license application license effective date of November 6, 2017 – license expiration date of November 6, 2018. **Seconded by D. Davis**

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

b) Konami Gaming, Inc.

Action: B. Willis made a motion to approve Gaming Vendor License renewal application for Konami Gaming, Inc. license effective date January 6, 2018 – license expiration date of January 6, 2019. **Seconded by D. Davis**

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



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
January 9, 2018
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: Debra Davis, Bill Willis, Dave Corey
Commission Staff: Kelly Maser
Others: Rebecca Liebing, Elise McGowan-Cuellar, Lee Ivinson

Approval of Open Session Agenda:

a) January 9, 2018

Action: D. Davis made a motion to approve Open Session Meeting Agenda for January 9, 2018. **Seconded by D. Corey**

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

Approval of Open Session Minutes:

a) January 2, 2018

Action: B. Willis made a motion to approve Open Session Meeting Minutes for January 2, 2018. **Seconded by D. Davis**

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

Old Business:

None

New Business:

None

Discussion Period:

**Kelly – External Audit Presentation
Lee – Emergency Preparedness Conference
Lee – Exemption Request Forthcoming
Lee – Point of Sale**

Next Gaming Commission Meeting

a) January 16, 2018 at 6:00 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn the Open Session at 5:59 p.m. **Seconded by B. Willis**

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

Submitted by,



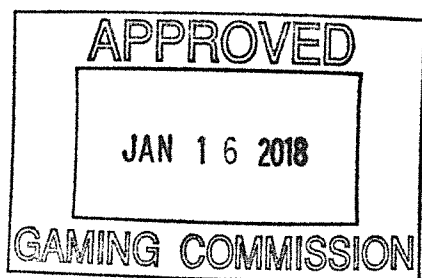
Bill Willis, Secretary

1/16/18

Date

Items moved to Open Session:

None



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING**

January 16, 2018

Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660

Meeting called to order at 6:20 p.m. by Chairperson, Dave Corey

Present:

Commissioners: Dave Corey, Debra Davis, Bill Willis

Commission Staff: Kelly Maser, Erford Edmondson

Others: Rebecca Liebing

Approval of Open Session Agenda:

a) January 16, 2018

Action: B. Willis made a motion to approve Open Session Meeting Agenda for January 16, 2018 with addition of New Business item (a) – Approval of Installation and Usage of Glory RGB-300 Cash Recyclers. **Seconded by D. Corey**

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

Approval of Open Session Minutes:

a) January 9, 2018

Action: D. Davis made a motion to approve Open Session Meeting Minutes for January 9, 2018. **Seconded by D. Corey**

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

Old Business:

None

New Business:

a) Approval of Installation and Usage of Glory RGB-300 Cash Recyclers

Action: D. Corey made a motion to approve the installation and usage of Glory RGB-300 Cash Recyclers at the gaming enterprise. **Seconded by D. Davis**

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

Discussion Period:

Erf – Gaming enterprise updates related to Compliance Officer duties and responsibilities

Next Gaming Commission Meeting

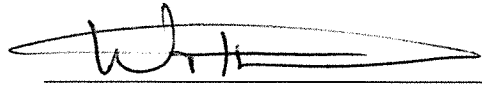
a) January 23, 2018 at 6:00 p.m.

Adjournment of Open Session:

Action: D. Corey made a motion to adjourn the Open Session at 6:31 p.m. **Seconded by B. Willis**

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

Submitted by,


Bill Willis, Secretary Date 1/23/18

Items moved to Open Session:

a) Request for Exemption – RSM US, LLP

Action: D. Corey made a motion to approve Gaming Commission Order #GC18-0116-01 granting RSM US, LLP exemption from the vendor licensing requirements. **Seconded by B. Willis**

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





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

GAMING COMMISSION ORDER #GC18-0116- 6/

**GRANTING EXEMPTION TO
RSM US LLP
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 (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 Commission finds that RSM US LLP is a CPA firm providing professional services in a highly regulated field; and

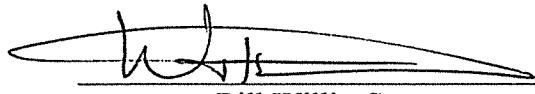
WHEREAS, the gaming enterprise has requested an exemption from the licensing requirements for RSM US LLP for purposes of providing professional services to the gaming enterprise.

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that RSM US LLP is hereby exempt from the vendor licensing requirements. This exemption is valid once the Gaming Commission is in receipt of the Conflict of Interest Disclosure form between the Little River Casino Resort and the vendor per Chapter 6 – Vendor Licensing Regulation – Section 3-6.

Certificate of Adoption

I, Bill Willis, Secretary of the Little River Band of Ottawa Indians Gaming Commission do hereby certify that this order was approved on January 16, 2018 by a vote of 3 in favor, 0 opposed, and 0 abstentions and 0 absent. This order has not been amended or rescinded in any way.

Attest:



Bill Willis, Secretary

Distribution: Commission Records
 Little River Casino Resort
 Tribal Council Recorder
 RSM US LLP



Little River Band of Ottawa Indians Gaming Commission

2840 Orchard Highway, Suite 'A'

Manistee, MI 49660

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Memo

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

Binjibidek (From): Kelly Maser, Executive Director 

Maánda Naásaáp (cc):

Naángwa (Date): February 1, 2018

Maánda Nji (Re): Administrative and Licensing – January 2018 Monthly Report

Administrative Assistant – January 2018 (position filled October 30, 2017)

** Administrative Assistant(s) supports/assists the Background Investigator in the licensing process which includes (not inclusive of) the following: initial contact with applicant explaining the application process 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/file; responsible for tracking licensees to ensure no license expires without the appropriate notifications being sent to licensee; notarizes forms; schedules appointments for the Background Investigator; distribution of licenses, processes all employment, reference, professional license and Gaming License verifications, etc.*

Background Investigator – January 2018 (performed by the Executive Director)

- 107 applications/files/investigations reviewed – initial and renewals (Gaming/Non-Gaming), including NSOR searches, personal references and employment checks, gaming license verifications, professional license verifications, etc.
- Numerous employee licensing interviews conducted
- 60 ICHATS ran for employee licensing
- 4 investigations initiated on employee licensing (Accurate - criminal/civil searches)
- 1 set of fingerprints processed
- Notices to the National Indian Gaming Commission (NIGC)
 - 1 Notice of Results
 - 7 License Determinations

Executive Assistant – January 2018

- 2 vendor licenses processed (Gaming/Non-Gaming)
- 1 vendor application sent to vendors (Gaming/Non-Gaming)
- Received Gaming vendor applications and reviewed for completeness
 - 5 Corporate History Disclosure Form
 - 14 Personal History Disclosure Form
- Received Non-Gaming vendor applications and reviewed for completeness
 - 2 Corporate History Disclosure Form
 - 5 Personal History Disclosure Form
- 7 investigations initiated on vendors
- 19 investigations initiated on vendor control persons
- 8 investigations on vendors reviewed
- 18 investigations for control persons reviewed
- Conducted numerous personal reference checks for vendors
- Ran numerous Sex Offender Reports on vendor control persons and Resort employees
- Conducted numerous license verifications on vendors and control persons
- 7 Dunn & Bradstreet reports ran on vendors
- 8 Gaming Commission meeting agendas prepared
 - 20 Gaming Commission meeting packets assembled and distributed
- 1 Gaming Commission monthly report compiled and submitted to Tribal Council
- 4 Gaming Commission orders drafted
- Reviewed LRCR Accounts Payable List
- 14 investigations initiated on employee licensing (Accurate - criminal/civil searches)
- 47 ICHATS ran for employee licensing
- 56 Credit Reports ran for employee licensing

** Executive Assistant supports/assists the Executive Director in the vendor licensing process which includes (not inclusive) the following: initial contact with vendor (and control person(s) when applicable) explaining the application process and requirements; performs cursory review of application and attachments upon return to ensure completeness; initiates investigation; runs Dunn & Bradstreet Reports; conducts license verifications; processes personal reference checks, etc. Also prepares all renewal and initial licensing application letters and sends out licensing application packets; responsible for tracking vendor licensing information to ensure no vendor's license expires without the appropriate notification being sent to the vendor/licensee. Upon completion of all above, the entire file is provided to the Executive Director for review prior to placement on the Gaming Commission Meeting agenda for review and consideration.*

The Executive Assistant fills in as the Administrative Assistant when necessary.