



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 2019

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.

Bill Willis, Chairperson
Debra Davis, Secretary
Mark Jespersen, Commissioner
Steve Parsons, Commissioner
Alyce Giltz, 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 18, 2018
2. January 8, 2019
3. January 15, 2019
4. January 22, 2019

Resolutions:

1. Gaming Commission Resolution #18-0115-01 Approval of Revised Gaming Commission Regulation #R400-04:GC-02 Chapter 2 – Gaming Devices, Equipment, and Supplies
2. Gaming Commission Resolution #18-0122-02 Approval of Revised Gaming Commission Regulation #R400-04:GC-14 Chapter 14 – Hearings
3. Gaming Commission Resolution #18-0122-03 Approval of Revised Gaming Commission Regulation #R400-04:GC-04 Chapter 4 – Notifications and Reports

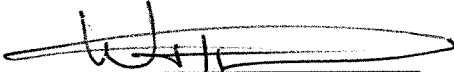
Commission Orders:

1. Gaming Commission Order #GC19-0122-01 Granting Exemption to WIPFLi, LLP/Joseph Eve from Vendor Licensing Requirements

Other:

Reports:

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


Chairperson

2/5/19
Date



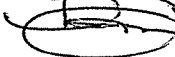
Little River Band of Ottawa Indians Gaming Commission

2840 Orchard Highway, Suite 'A'
Manistee, MI 49660

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

Memo

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

Binjibidek (From): Kelly Maser, Executive Director 

Maánda Naásaáp (cc):

Naángwa (Date): February 1, 2019

Maánda Nji (Re): Administrative and Licensing – January 2019 Monthly Report

Administrative Assistant – January 2019

- 86 licenses processed – initial applications and renewals (Gaming and Non-Gaming), including personal references, employment verifications, Gaming License verifications, professional license(s) verifications, notaries, etc.

** Administrative Assistant(s) supports/assists the Background Investigator and Director 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 2019 (performed by the Executive Director and Background Investigator)

- 105 applications/files/investigations reviewed for authorization of approval – initial applications and renewals (Gaming and Non-Gaming)
- 4 vendor files reviewed for authorization to move to Gaming Commission for approval (Gaming and Non-Gaming)
- Ran numerous Sex Offender Reports for employee licensing
- 95 ICHAT ran for employee licensing
- 1 ICHAT ran for background investigation purposes
- 29 interviews conducted for new employee license applicants
- 31 criminal and civil background investigations initiated for new employee license applicants (Accurate)
- 33 sets of fingerprints obtained

- Notices to the National Indian Gaming Commission (NIGC) (Executive Director)
 - 28 Notice of Results (NOR) prepared and processed
 - 4 Licensing Determinations prepared and processed (two (2) were Gaming Commissioners)
 - 4 Investigative Reports prepared and processed

Executive Assistant – January 2019

- 4 Vendor Licenses processed (Gaming and Non-Gaming)
- 3 Renewal applications sent to vendors (Gaming and Non-Gaming)
- Received Non-Gaming vendor applications and reviewed for completeness
 - 1 Corporate History Disclosure Form
 - 4 Personal History Disclosure Form
- Received Gaming vendor applications and reviewed for completeness
 - 3 Corporate History Disclosure Form
 - 14 Personal History Disclosure Form
- 4 investigations initiated on vendors
- 21 investigations initiated on vendor control persons
- 5 investigations on vendors reviewed
- 16 investigations for control persons reviewed
- Conducted numerous personal reference checks for vendors
- Ran numerous Sex Offender Reports on vendor control persons and for employee licensing
- Conducted numerous license verifications on vendors and control persons
- 4 Dunn & Bradstreet reports ran on vendors
- 10 Gaming Commission meeting agendas prepared
 - 21 Gaming Commission meeting packets assembled and distributed
- 1 Gaming Commission monthly report compiled and submitted to Tribal Council
- 1 Gaming Commission order drafted
- 3 Gaming Commission resolutions drafted
- 3 Tribal Council resolutions drafted
- 3 Tribal Council agenda submittals processed
- Reviewed LRCR Accounts Payable List
- 2 ICHATS ran for employee licensing
- 2 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.

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

December 18, 2018

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

Meeting called to order at 5:30 p.m. by Acting Secretary, Debra Davis

Present:

Commissioners: Bill Willis (absent), Mark Jespersen, Debra Davis

Commission Staff: Kelly Maser

Others: Rebecca Liebing

Approval of Open Session Agenda:

a) **December 18, 2018**

Action: D. Davis made a motion to approve the Open Session Agenda for December 18, 2018. **Seconded by M. Jespersen**

Roll Call: M. Jespersen – Yes / D. Davis – Yes / B. Willis – Absent / 2-Yes, 0-No, 0-Abstain, 1-Absent.

MOTION CARRIED

Approval of Open Session Minutes:

a) **December 11, 2018**

Action: D. Davis made a motion to approve the Open Session Meeting Minutes for December 11, 2018. **Seconded by M. Jespersen**

Roll Call: D. Davis – Yes / B. Willis – Absent / M. Jespersen – Yes / 2-Yes, 0-No, 0-Abstain, 1-Absent.

MOTION CARRIED

Old Business:

None

New Business:

None

Discussion Period:

No attendees from the gaming enterprise

Kelly - Chapter 4 – Notifications and Reports Submissions

Next Gaming Commission Meeting

a) **January 8, 2018 at 5:30 p.m.**

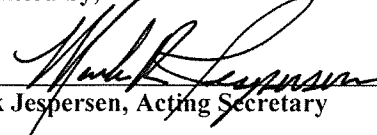
Adjournment of Open Session:

Action: D. Davis made a motion to adjourn the Open Session at 5:40 p.m. **Seconded by M. Jespersen**

Roll Call: B. Willis – Absent / M. Jespersen – Yes / D. Davis – Yes / 2-Yes, 0-No, 0-Abstain, 1-Absent.

MOTION CARRIED

Submitted by,


Mark Jespersen, Acting Secretary

1-8-19
Date

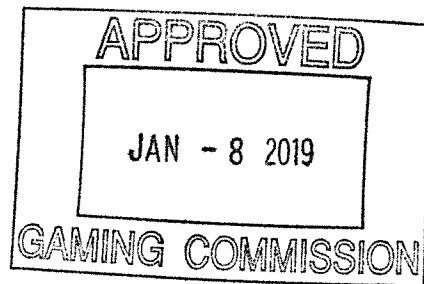
Items moved to Open Session:

a) Konami Gaming, Inc.

Action: D. Davis made a motion to approve renewal application the Gaming vendor Konami Gaming, Inc. – license effective date January 6, 2019 – license expiration date January 6, 2020. **Seconded by M. Jespersen**

Roll Call: B. Willis – Absent / D. Davis – Yes / M. Jespersen – Yes / 2-Yes, 0-No, 0-Abstain, 1-Absent.

MOTION CARRIED



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

January 8, 2019

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

Meeting called to order at 5:40 p.m. by Chairperson, Bill Willis

Present:

Commissioners: Bill Willis, Mark Jespersen, Debra Davis
Commission Staff: Kelly Maser
Others: Rebecca Liebing, Lee Iverson, Dawn McGrady

Approval of Open Session Agenda:

a) **January 8, 2019**

Action: B. Willis made a motion to approve the Open Session Agenda for January 8, 2019. **Seconded by D. Davis**
Roll Call: B. Willis – Yes / M. Jespersen – Yes / D. Davis – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) **December 18, 2018**

Action: B. Willis made a motion to approve the Open Session Meeting Minutes for December 18, 2018. **Seconded by M. Jespersen**
Roll Call: D. Davis – Yes / B. Willis – Yes / M. Jespersen – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Old Business:

None

New Business:

None

Discussion Period:

Kelly – Four (4) regulations for approval forthcoming

Next Gaming Commission Meeting

a) **January 15, 2019 at 5:30 p.m.**

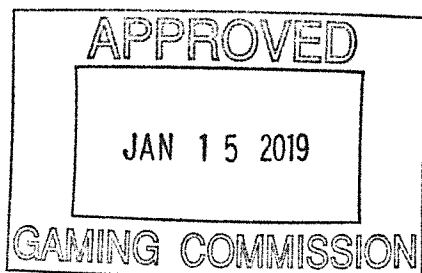
Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 5:45 p.m. **Seconded by D. Davis**
Roll Call: M. Jespersen – Yes / B. Willis – Yes / D. Davis – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Submitted by,

Debra Davis, Secretary

Date



[Signature] 1-15-19

Items moved to Open Session:

a) Temperature Control, Inc.

Action: B. Willis made a motion to approve renewal application for Temperature Control, Inc. Non-Gaming vendor licensing – license effective date April 12, 2019 – license expiration date April 12, 2020. **Seconded by M.**

Jespersen

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

b) Casino Cash Trac, LLC

Action: B. Willis made a motion to approve renewal application for Gaming vendor license for Casino Cash Trac, LLC – license effective date March 14, 2019 – license expiration date March 14, 2020. **Seconded by M. Jespersen**

Roll Call: M. Jespersen – Yes / D. Davis – 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 15, 2019
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:30 p.m. by Chairperson, Bill Willis

Present:

Commissioners: Bill Willis, Mark Jespersen, Debra Davis, Steve Parsons
Commission Staff: Kelly Maser, Erford Edmondson, Connie Lindsay
Others: Rebecca Liebing, Lee Iverson

Approval of Open Session Agenda:

a) January 15, 2019

Action: B. Willis made a motion to approve the Open Session Agenda for January 15, 2019. **Seconded by D. Davis**
Roll Call: D. Davis – Yes / B. Willis – Yes / S. Parsons – Yes / M. Jespersen – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) January 8, 2018

Action: D. Davis made a motion to approve the Open Session Meeting Minutes for January 8, 2018. **Seconded by B. Willis**
Roll Call: M. Jespersen – Yes / D. Davis – Yes / B. Willis – Yes / S. Parsons – Abstain / 3-Yes, 0-No, 1-Abstain, 0-Absent. **MOTION CARRIED**

Old Business:

None

New Business:

a) Gaming Commissioner Officer Elections

Action: B. Willis made a motion to nominate Debra Davis as Secretary. **Seconded by M. Jespersen**
Roll Call: B. Willis – Yes / M. Jespersen – Yes / D. Davis – Yes / S. Parsons – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Action: D. Davis made a motion to nominate Bill Willis as Chairperson. **Seconded by M. Jespersen**
Roll Call: B. Willis – Abstain / M. Jespersen – Yes / D. Davis – Yes / S. Parsons – Yes / 3-Yes, 0-No, 1-Abstain, 0-Absent. **MOTION CARRIED**

b) Approval of Revised Gaming Commission Regulation – Chapter 14 – Hearings

Action: B. Willis made a motion to table. **Seconded by D. Davis**
Roll Call: S. Parsons – Yes / D. Davis – Yes / B. Willis – Yes / M. Jespersen – Yes / 4-Yes- 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

c) Approval of Revised Gaming Commission Regulation – Chapter 2 – Gaming Devices, Equipment, and Supplies

Action: B. Willis made a motion to approve Gaming Commission Resolution #GC19-0115-01 approval of revised Gaming Commission Regulation #R400-04:GC-02 – Chapter 2 – Gaming Devices, Equipment, and Supplies. **Seconded by S. Parsons**
Roll Call: M. Jespersen – Yes / D. Davis – Yes / S. Parsons – Yes / B. Willis – Yes / 4-Yes- 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Discussion Period:

Next Gaming Commission Meeting

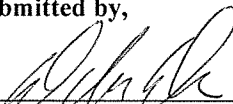
a) January 22, 2019 at 5:30 p.m.

Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 5:50 p.m. **Seconded by D. Davis**

Roll Call: B. Willis – Yes / D. Davis – Yes / M. Jespersen – Yes / S. Parsons – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Submitted by,


Debra Davis, Secretary

1-22-19
Date

Items moved to Open Session:

a) Great Lakes West, LLC

Action: B. Willis made a motion to approve the initial Non-Gaming License application for Great Lakes West, LLC – license effective date January 15, 2019 – license expiration date January 15, 2020. **Seconded by D. Davis**

Roll Call: M. Jespersen – Yes / S. Parsons – Yes / D. Davis – Yes / B. Willis – Yes / 4-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**



**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
January 22, 2019
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:30 p.m. by Chairperson, Bill Willis

Present:

Commissioners: Bill Willis, Mark Jespersen (absent), Debra Davis, Steve Parsons
Commission Staff: Kelly Maser, Erford Edmondson
Others: Rebecca Liebing, Lee Ivinson

Approval of Open Session Agenda:

a) January 22, 2019

Action: B. Willis made a motion to approve the Open Session Agenda for January 22, 2019. **Seconded by D. Davis**
Roll Call: S. Parsons – Yes / M. Jespersen – Absent / D. Davis – Yes / B. Willis – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) January 15, 2018

Action: D. Davis made a motion to approve the Open Session Meeting Minutes for January 15, 2018. **Seconded by B. Willis**
Roll Call: M. Jespersen – Absent / D. Davis – Yes / B. Willis – Yes / S. Parsons – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Old Business:

a) Approval of Revised Gaming Commission Regulation – Chapter 14 – Hearings

Action: S. Parsons made a motion to approve Gaming Commission Resolution #GC19-0122-02 approval of revised Gaming Commission Regulation #R400-04:GC14 – Chapter 14 – Hearings. **Seconded by B. Willis**
Roll Call: B. Willis – Yes / S. Parsons – Yes / M. Jespersen – Absent / D. Davis – Yes / 3-Yes- 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

New Business:

a) Approval of Revised Gaming Commission Regulation – Chapter 4 – Notifications and Reports

Action: B. Willis made a motion to approve Gaming Commission Resolution #GC19-0122-03 approval of revised Gaming Commission Regulation #R400-04:GC04 – Chapter 4 – Notifications and Reports. **Seconded by D. Davis**
Roll Call: D. Davis – Yes / B. Willis – Yes / S. Parsons – Yes / M. Jespersen – Absent / 3-Yes- 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

b) Approval of Use of Stadium Roulette Game

Action: S. Parsons made a motion to approve for use of the Interblock Stadium Roulette. **Seconded by D. Davis**
Roll Call: M. Jespersen – Absent / D. Davis – Yes / B. Willis – Yes / S. Parsons – Yes / 3-Yes- 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Discussion Period:

Rebecca – Work Session Gaming Commission Ordinance
Rebecca – Work Session Rehabilitation for Licensure Ordinance 01/28/19
Lee – Project Management Training
Lee – Title 31 Assessment
Lee – IT Tribal Minimum Internal Controls (TMICS)

Next Gaming Commission Meeting

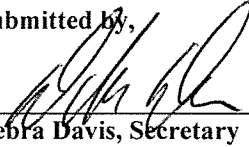
a) January 29, 2019 at 5:30 p.m.

Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 5:55 p.m. Seconded by D. Davis

Roll Call: S. Parsons – Yes / M. Jespersen – Absent / D. Davis – Yes / B. Willis – Yes / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**

Submitted by,


Debra Davis, Secretary

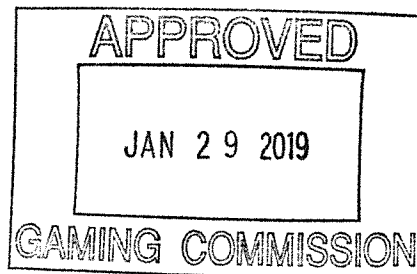
1-29-19
Date

Items moved to Open Session:

a) **Vendor Licensing Exemption Request – WIPFLi, LLP/Joseph Eve**

Action: B. Willis made a motion to approve Gaming Commission Order GC#19-0122-01 granting exemption for WIPFLi, LLP/Joseph Eve for vendor licensing requirements. Seconded by D. Davis

Roll Call: B. Willis – Yes / S. Parsons – Yes / D. Davis – Yes / M. Jespersen – Absent / 3-Yes, 0-No, 0-Abstain, 1-Absent. **MOTION CARRIED**





Gaming Commission
2840 Orchard Hwy., Suite "A"
Manistee, MI 49660
Tel: (231) 723-7755 • Fax: (231) 723-7788

Gaming Commission Resolution #GC19-0115-*on*

**APPROVAL OF REVISED GAMING COMMISSION REGULATION #R400-04:GC-02
CHAPTER 2 – GAMING DEVICES, EQUIPMENT, AND SUPPLIES**

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 Tribe adopted amendments to the Constitution on July 11, 2016 which became effective upon approval by the Assistant Secretary-Indian Affairs on August 24, 2016; 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 6.04 (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

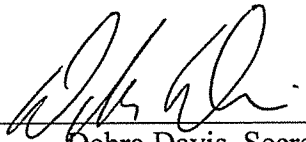
WHEREAS, Gaming Commission Regulation #R400-04:GC-02 Chapter 2 – Gaming Devices, Equipment, and Supplies was approved by the Gaming Commission on September 16, 2008 and were very outdated.

NOW THEREFORE IT IS RESOLVED THAT Gaming Commission Regulation #R400-04:GC-02 – Chapter 2 – Gaming Devices, Equipment, and Supplies be effective and forwarded to the Tribal Council Recorder for filing in accordance with Gaming Commission Ordinance Section 6.04 (b).

Certificate of Adoption

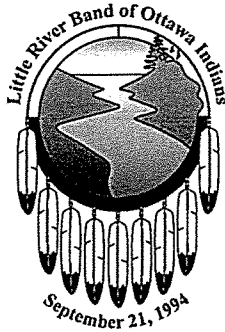
I, Debra Davis, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on January 15, 2019 by a vote of 4 in favor, 0 opposed, and 0 abstentions and 0 absent. This resolution has not been amended or rescinded in any way.

Attest:



Debra Davis, Secretary

Distribution: Commission Records
Tribal Council Liaison



Gaming Commission
2840 Orchard Hwy., Suite "A"
Manistee, MI 49660
Tel: (231) 723-7755 • Fax: (231) 723-7788

Gaming Commission Resolution #GC19-0122-02

**APPROVAL OF REVISED GAMING COMMISSION REGULATION #R400-04:GC-14
CHAPTER 14 – HEARINGS**

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 Tribe adopted amendments to the Constitution on July 11, 2016 which became effective upon approval by the Assistant Secretary-Indian Affairs on August 24, 2016; 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 6.04 (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, Gaming Commission Regulation #R400-04:GC-014 Chapter 14 - Hearings was approved by the Gaming Commission on December 15, 2009 and were very outdated.

Gaming Commission Resolution #GC19-0122-02
Approval of Revised Gaming Commission Regulation #R400-04:GC-14
Chapter 14 – Hearings
Page Two

NOW THEREFORE IT IS RESOLVED THAT Gaming Commission Regulation #R400-04:GC-14 – Chapter 14 – Hearings be effective and forwarded to the Tribal Council Recorder for filing in accordance with Gaming Commission Ordinance Section 6.04 (b).

Certificate of Adoption

I, Debra Davis, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on January 22, 2019 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



Gaming Commission
2840 Orchard Hwy., Suite "A"
Manistee, MI 49660
Tel: (231) 723-7755 • Fax: (231) 723-7788

Gaming Commission Resolution #GC19-0122-03

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

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

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

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

WHEREAS, the Tribe adopted amendments to the Constitution on July 11, 2016 which became effective upon approval by the Assistant Secretary-Indian Affairs on August 24, 2016; 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 6.04 (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, Gaming Commission Regulation #R400-04:GC-04 Chapter 4 – Notifications and Reports was last approved by the Gaming Commission on April 24, 2018 and recent concerns as it relates to inefficiencies of the Gaming Commission operations caused for the need for revisions..

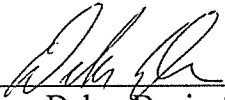
Gaming Commission Resolution #GC19-0122-03
Approval of Revised Gaming Commission Regulation #R400-04:GC-04
Chapter 4 – Notifications and Reports
Page Two

NOW THEREFORE IT IS RESOLVED THAT Gaming Commission Regulation #R400-04:GC-04 – Chapter 4 – Notifications and Reports be effective and forwarded to the Tribal Council Recorder for filing in accordance with Gaming Commission Ordinance Section 6.04 (b).

Certificate of Adoption

I, Debra Davis, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on January 22, 2019 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 #GC19-0122-01

**GRANTING EXEMPTION TO WIPFLI, LLP/JOSEPH EVE
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

Gaming Commission Order #GC19-0122-DI
Granting Exemption to WIPFLi, LLP/Joseph Eve
from Vendor Licensing Requirements
Page Two

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 19 – Section 3-1 of the Tribal Council accepted Gaming Commission regulations states that every person supplying any goods, services, and/or concessions to any gaming enterprise must obtain 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 19 – Section 3-2 of the Tribal Council accepted 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 19 – Section 3-3 of the Tribal Council accepted Gaming Commission regulations states that prior to the purchase of any goods, services, and/or concessions the gaming enterprise shall forward a written “Notice of Intent to Conduct Business” to the Gaming Commission. The “Notice of Intent to Conduct Business” shall describe the goods, services, and/or concessions 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 19 – Section 3-4 (b) of the Tribal Council accepted Gaming Commission regulations states that the Gaming Commission may grant special exemptions from the vendor licensing requirement for persons or businesses providing professional or unique services; and

WHEREAS, Chapter 19 – Section 3-6 of the Tribal Council accepted 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 WIPFLi, LLP/Joseph Eve for purposes of providing professional services to the gaming enterprise.


Gaming Commission Order #GC19-0122-0
Granting Exemption to WIPFLi, LLP/Joseph Eve
from Vendor Licensing Requirements
Page Three

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that WIPFLi, LLP/Joseph Eve 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 19 – Non-Gaming Vendor Licensing Regulation – Section 3-6.

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 January 22, 2019 by a vote of 3 in favor, 0 opposed, and 0 abstentions and 1 absent. This order has not been amended or rescinded in any way.

Attest:

 1-22-19
Debra Davis, Secretary

Distribution: Commission Records
Little River Casino Resort
Tribal Council Recorder