



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 October 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.

Bill Willis, Chairperson
Debra Davis, Secretary
Mark Jespersen, Commissioner

II. Activities during the Past Month:

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

III. Concerns/Requests:

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

Minutes:

1. September 25, 2018
2. October 2, 2018
3. October 9, 2018
4. October 16, 2018

Resolutions:

1. Gaming Commission Resolution #GC18-1023-33 Approval of Revised Gaming Commission Regulation #R400-04:GC-03 Chapter 3 – Non-Gaming Employee Licensing Regulation
2. Gaming Commission Resolution #GC18-1023-34 Approval of Revised Gaming Commission Regulation #R400-04:GC-07 Chapter 7 – Gaming Employee Licensing Regulation
3. Gaming Commission Resolution #GC18-1023-35 Approval of Revised Gaming Commission Surveillance System Usage Policy

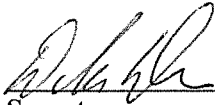
Commission Orders:

1. Gaming Commission Order #GC18-1016-08 Granting One-Time Exemption to Scheerer McCulloch Auctioneers, Inc. from Vendor Licensing Requirements
2. Gaming Commission Order #GC18-1016-09 Prohibiting Little River Casino Resort from Conducting Business with Slot Service, Inc.

Other:

Reports:

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


Secretary

11-6-18
Date

**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
September 25, 2018
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 5:37 p.m. by Chairperson, Bill Willis

Present:

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

Approval of Open Session Agenda:

a) **September 25, 2018**

Action: B. Willis made a motion to approve the Open Session Agenda for September 25, 2018. **Seconded by D. Davis**

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

Approval of Open Session Minutes:

a) **September 11, 2018**

Action: B. Willis made a motion to approve the Open Session Minutes for September 11, 2018. **Seconded by D. Davis**

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

Old Business:

None

New Business:

None

Discussion Period:

No attendees from the gaming enterprise

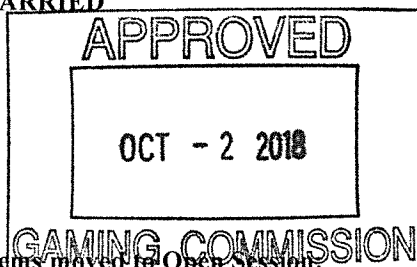
Next Gaming Commission Meeting

a) **October 2, 2018 at 5:30 p.m.**

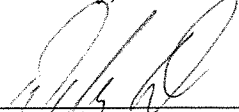
Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 5:39 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

10-2-18
Date

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

October 2, 2018

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

Meeting called to order at 5:33 p.m. by Chairperson, Bill Willis

Present:

Commissioners: Bill Willis, Mark Jespersen, Debra Davis

Commission Staff: Kelly Maser, Erford Edmondson

Others: Rebecca Liebing, Lee Ivinson, Dawn McGrady, Barry McGrady, Joanne Green

Approval of Open Session Agenda:

a) **October 2, 2018**

Action: B. Willis made a motion to approve the Open Session Agenda for October 2, 2018. **Seconded by D. Davis**

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

Approval of Open Session Minutes:

a) **September 25, 2018**

Action: B. Willis made a motion to approve the Open Session Minutes for September 25, 2018. **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**

Old Business:

None

New Business:

None

Discussion Period:

None

Next Gaming Commission Meeting

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

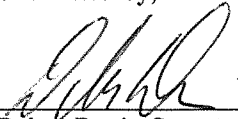
Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 5:35 p.m. **Seconded by D. Davis**

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



Submitted by,


Debra Davis, Secretary

10-16-18
Date

Items moved to Open Session:

a) Aristocrat Technologies, Inc.

Action: B. Willis made a motion to approve the Gaming Vendor renewal application for Aristocrat Technologies, Inc. effective date of October 4, 2018 – license expiration date of October 4, 2019. **Seconded by D. Davis**

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

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

October 9, 2018

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 (absent)

Commission Staff: Kelly Maser, Erford Edmondson, Connie Lindsay

Others: Dave Corey (liaison), Melissa Alexander, James Pontiac, Mike Waite, Linda Flintoff

Approval of Open Session Agenda:

a) **October 9, 2018**

Action: B. Willis made a motion to approve the Open Session Meeting Agenda for October 9, 2018. **Seconded by M. Jespersen**

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

MOTION CARRIED

Approval of Open Session Minutes:

a) **October 2, 2018**

Action: B. Willis made a motion to approve the Open Session Minutes for October 2, 2018. **Seconded by M. Jespersen**

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

MOTION CARRIED

Old Business:

None

New Business:

Kelly - Gaming Law and Regulation Conference December 10-11, 2018

Discussion Period:

None

Next Gaming Commission Meeting

a) **October 16, 2018 at 5:30 p.m.**

Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 5:33 p.m. **Seconded by M. Jespersen**

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

MOTION CARRIED



Submitted by,

Mark Jespersen, Acting Secretary

10-16-18

Date

**LITTLE RIVER BAND OF OTTAWA INDIANS
GAMING COMMISSION MEETING
OPEN SESSION MEETING
October 16, 2018
Gaming Commission Conference Room
2840 Orchard Highway, Suite A
Manistee, MI 49660**

Meeting called to order at 6:01 p.m. by Chairperson, Bill Willis

Present:

Commissioners: Bill Willis, Mark Jespersen, Debra Davis
Commission Staff: Kelly Maser, Erford Edmondson
Others:

Approval of Open Session Agenda:

a) **October 16, 2018**

Action: B. Willis made a motion to approve the Open Session Agenda for October 16, 2018. **Seconded by D. Davis**
Roll Call: M. Jespersen – Yes / D. Davis – Yes / B. Willis – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**

Approval of Open Session Minutes:

a) **October 9, 2018**

Action: B. Willis made a motion to approve the Open Session Minutes for October 9, 2018. **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**

Old Business:

None

New Business:

None

Discussion Period:

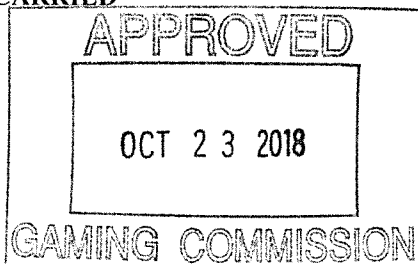
Erf - SICS
Kelly – Gaming Law and Regulation Conference December 10-11, 2018
Erf – Upcoming Internal Audit Boot Camp

Next Gaming Commission Meeting

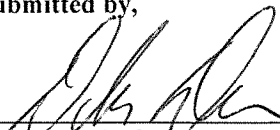
a) **October 23, 2018 at 6:00 p.m.**

Adjournment of Open Session:

Action: B. Willis made a motion to adjourn the Open Session at 6:20 p.m. **Seconded by D. Davis**
Roll Call: D. Davis – Yes / B. Willis – Yes / M. Jespersen – Yes / 3-Yes, 0-No, 0-Abstain, 0-Absent. **MOTION CARRIED**



Submitted by,


Debra Davis, Secretary

10-23-18
Date

Items moved to Open Session:

a) Gaming Commission Order to Cease Conducting Business – Slot Services, Inc.

Action: B. Willis made a motion to approve Gaming Commission Order GC#18-1016-09 prohibiting the Little River Casino Resort from conducting business with Slot Services, Inc. effective date of October 20, 2018. **Seconded by D. Davis**

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

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

Action: B. Willis made a motion to approve the Gaming renewal application for Bally Gaming, Inc. d/b/a Bally Technologies – license effective date November 15, 2018 – license expiration date November 15, 2019. **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**

c) Larson's Landscaping, LLC

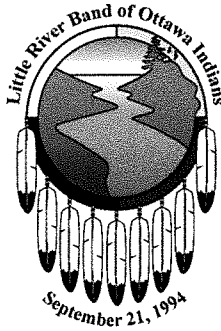
Action: B. Willis made a motion to approve the Non-Gaming vendor renewal application for Larson's Landscaping, LLC – license effective date November 22, 2018 – license expiration date November 22, 2019. **Seconded by D. Davis**

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

d) Vendor Licensing One-Time Exemption Request – Scheerer McCulloch Auctioneers, Inc.

Action: B. Willis made a motion to approve Gaming Commission Order GC#18-1016-08 granting a one-time exemption for Scheerer McCulloch Auctioneers, Inc. from vendor licensing requirements. **Seconded by D. Davis**

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



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

Gaming Commission Resolution #GC18-1023-33

APPROVAL OF REVISED GAMING COMMISSION REGULATION #R400-04:GC-03 CHAPTER 3 – NON-GAMING EMPLOYEE LICENSING REGULATION

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, all Non-Gaming Employee Licensing reference was removed from Gaming Commission Regulation – Chapter 7 – Employee Licensing and was introduced as a stand-alone regulation in Gaming Commission Regulation #R400-04:GC-03 – Chapter 3 – Non-Gaming Employee Licensing which was approved by the Gaming Commission on March 13, 2018 and accepted by Tribal Council on April 25, 2018; and

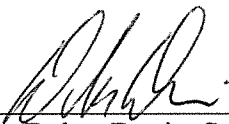
WHEREAS, a recent review revealed a couple minor errors and inconsistencies that needed to be corrected.

NOW THEREFORE IT IS RESOLVED THAT Gaming Commission Regulation #400-04:GC-03 – Chapter 3 – Non-Gaming Employee Licensing Regulation 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 October 23, 2018 by a vote of 3 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 #GC18-1023-34

APPROVAL OF REVISED GAMING COMMISSION REGULATION #R400-04:GC-07 CHAPTER 7 – GAMING EMPLOYEE LICENSING REGULATION

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-07 Chapter 7 – Gaming Employee Licensing was introduced as a stand-alone regulation which was approved by the Gaming Commission on October 17, 2017; and

WHEREAS, a recent review revealed a couple minor errors and inconsistencies that needed to be corrected.

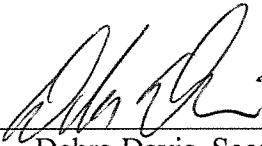
Gaming Commission Resolution #GC18-1023-34
Approval of Revised Gaming Commission Regulation #R400-04:GC-07
Chapter 7 – Gaming Employee Licensing Regulation
Page Two

NOW THEREFORE IT IS RESOLVED THAT Gaming Commission Regulation #400-04:GC-07 – Chapter 7 – Gaming Employee Licensing Regulation 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 October 23, 2018 by a vote of 3 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 #GC18-1023-35

APPROVAL OF REVISED GAMING COMMISSION SURVEILLANCE SYSTEM USAGE POLICY

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) (1) of the Gaming Commission Ordinance permits the Gaming Commission to promulgate internal operational procedures of the Gaming Commission and its staff; and

WHEREAS, the Gaming Commission developed the Surveillance Camera Usage Policy which establishes guidelines for the use of Surveillance cameras and equipment to protect the Tribe from legal implications; and

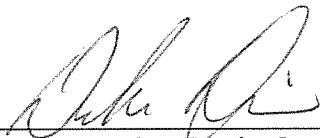
WHEREAS, the policy was approved on April 9, 2013 by Resolution #GC13-0409-10 and a recent review identified the need for revisions, including a title change – going from Surveillance Camera Usage Policy to Surveillance System Usage Policy.

NOW THEREFORE IT IS RESOLVED THAT the Gaming Commission hereby approves the revised Surveillance System Usage Policy and deems it effective immediately (superseding any previous policy).

Certificate of Adoption

I, Debra Davis, Secretary of the Gaming Commission do hereby certify that this resolution was adopted on October 23, 2018 by a vote of 3 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 #GC18-1016- 06

**GRANTING ONE-TIME EXEMPTION TO
SCHEERER MCCULLOCH AUCTIONEERS, 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 conducted on the Tribe's reservation and that such activities be conducted in conformance with the Tribal-State Compact, Gaming Ordinance, Gaming Commission Ordinance, federal, state, and applicable Tribal law, and any regulations promulgated by the Gaming Commission; and

WHEREAS, in Section 6.04 of Gaming Commission Ordinance, the Gaming Commission is authorized to promulgate rules and regulations as may be necessary to carry out the orderly performance of its duties and powers which shall include; and

Gaming Commission Order #GC18-1016-08
Granting One-Time Exemption to Scheerer McCulloch
Auctioneers, Inc. from Vendor Licensing Requirements
Page Two

WHEREAS, Chapter 19 – Section 3-1 of the Gaming Commission approved regulations states that every person supplying any goods, services, and/or concessions to any gaming enterprise must obtain a Non-Gaming Vendor License unless exempt 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 Gaming Commission approved 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 Gaming Commission approved 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 by the Gaming Commission; and

WHEREAS, Chapter 19 – Section 3-4 (b) of the Gaming Commission approved regulations states that the Gaming Commission may grant special exemptions from vendor licensing requirements for persons or businesses providing professional services or unique services. Persons or businesses that may qualify for special exemptions are those in the following categories: persons or businesses from which the gaming enterprise purchases advertising (billboard companies, trade magazines and newspapers); advertising agencies providing artistic or creative services; and persons or businesses making isolated (single item/event) sales or purchases of goods or services that do not impact gaming activity; and

WHEREAS, Chapter 19 – Section 3-5 of the Gaming Commission approved regulations states that the gaming enterprise must submit a request for exemption from the licensing requirements, including documentation supporting the vendor is highly regulated or supporting documentation how the vendor qualifies for a special exemption. 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; and

WHEREAS, Chapter 19 – Section 3-6 of the Gaming Commission approved 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

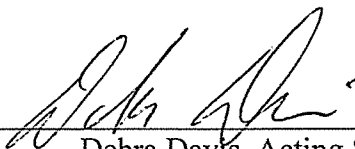
WHEREAS, the gaming enterprise has requested an one-time exemption from the vendor licensing requirements for Scheerer McCulloch Auctioneers, Inc. for purposes of purchasing equipment and supplies for the Bear Lake Highlands Golf Course (Little River Casino Resort).

NOW THEREFORE IT IS THE ORDER of the Little River Band of Ottawa Indians Gaming Commission that Scheerer McCulloch Auctioneers, Inc. shall be granted a one-time exemption from the vendor licensing requirements strictly for purpose of purchasing equipment and supplies for the Bear Lake Highlands Golf Course (Little River Casino Resort). This exemption becomes effective 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 3-5.

Certificate of Adoption

I, Debra Davis, Acting Secretary of the Little River Band of Ottawa Indians Gaming Commission do hereby certify that this order was approved on October 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:


Debra Davis, Acting Secretary

Distribution: Commission Records
Little River Casino Resort
Tribal Council Recorder
Scheerer McCulloch



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

GAMING COMMISSION ORDER #GC18-1016- 09

**PROHIBITING LITTLE RIVER CASINO RESORT FROM CONDUCTING
BUSINESS WITH SLOT SERVICE, INC.**

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 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

Gaming Commission Order #GC18-1016-09
Prohibiting Little River Casino Resort from Conducting Business with
Slot Service, Inc.
Page Two

WHEREAS, in Section 6.01 of Gaming Commission Ordinance, the Gaming Commission is authorized to enact and enforce such regulations consistent with the Gaming Commission Ordinance regarding its activities as the Commission may deem necessary and proper to effectuate the powers granted by the Ordinance and duties imposed by applicable law(s); and

WHEREAS, the Gaming Ordinance – Article 8 – Section 8.04 states that no Gaming Vendor shall contract with any gaming enterprise within the jurisdiction of the Tribe unless licensed by the regulatory agency in accordance with Article 11 (Gaming Vendor License); and

WHEREAS, Chapter 6 – Section 3-1 of the Gaming Commission approved Regulations states that every person supplying any gaming service or concessions, gaming equipment, gaming devices or supplies to a gaming enterprise must obtain a Gaming Vendor License; and

WHEREAS, Chapter 6 – Section 3-2 of the Gaming Commission approved 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 Gaming Commission Regulations states that prior to the purchase of any gaming service or concession, gaming equipment, gaming device or supplies, 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 services or concessions, gaming equipment, gaming device or supplies 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 Gaming Commission has licensed the vendor; and

WHEREAS, Slot Service, Inc. who is a licensed Gaming Vendor has not returned their renewal application associated with the renewal process; and therefore, the vendor’s license will expire on October 20, 2018.

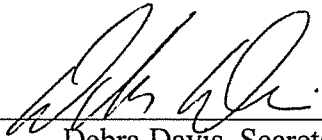
NOW THEREFORE IT IS ORDERED that the Little River Casino Resort shall cease conducting business with Slot Service, Inc. effective October 20, 2018 until such time that they meet the licensing requirement in accordance to Tribal law and regulations.

Gaming Commission Order #GC18-1016-09
Prohibiting Little River Casino Resort from Conducting Business with
Slot Service, Inc.
Page Three

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 October 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:



Debra Davis, Secretary

Distribution: Commission Records
 Little River Casino Resort
 Tribal Council Recorder
 Slot Service, Inc.



Little River Band of Ottawa Indians Gaming Commission

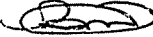
2840 Orchard Highway, Suite 'A'

Manistee, MI 49660

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

Memo

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

Binjibidek (From): Kelly Maser, Executive Director 

Maánda Naásaáp (cc):

Naángwa (Date): November 1, 2018

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

Administrative Assistant – October 2018

- 58 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 – October 2018 (performed by the Executive Director and Background Investigator)

- 58 applications/files/investigations reviewed for authorization of approval – initial applications and renewals (Gaming and Non-Gaming)
- 3 vendor files reviewed for authorization to move to Gaming Commission for approval (Gaming and Non-Gaming)
- 1 Gaming Commission Order prepared by Executive Director
- Ran numerous Sex Offender Reports for employee licensing
- 31 ICHATS ran for employee licensing
- 12 interviews conducted for new employee license applicants
- 7 criminal and civil background investigations initiated for new employee license applicants (Accurate)
- 5 set of fingerprints submitted and processed

- Notices to the National Indian Gaming Commission (NIGC)
 - 5 Notice of Results (NOR) prepared and processed
 - 4 Licensing Determinations prepared and processed
 - 4 Investigative Reports prepared and processed
- 1 Show Cause Hearing prepared
- 2 interviews and background investigations started on potential Gaming Commissioners (continuance on one (1) from September 2018)

Executive Assistant – October 2018

- 3 Vendor Licenses processed (Gaming and Non-Gaming)
- 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
- 4 investigations on vendors reviewed
- 6 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
- 2 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
- 2 Gaming Commission resolutions drafted
- 2 Gaming Commission orders drafted
- 2 Tribal Council resolutions drafted
- 2 Tribal Council agenda request packets processed
- Reviewed LRRC Accounts Payable List
- 3 Raffle license processed

** 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.