

**Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses**

PROPOSED AMENDMENT

11 CSR 45-4.010 Types of Licenses. The commission is amending section (1).

PURPOSE: This amendment updates the types of licenses issued by the commission.

(1) The types of licenses shall include:

(A) Class A;

(B) Class B;

(C) Supplier and temporary supplier;

[(C)] (D) Key [person/key person] business entity;

(E) Key person; and

[(D)](F) Occupational:

1. Level I;

2. Level II; *[and]*

3. Restricted Level II.

[(E) Supplier, temporary supplier and affiliate supplier.]

AUTHORITY: section[s] 313.004, RSMo 2000, and section 313.807, RSMo Supp. 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Amended: Filed May 13, 1998, effective Oct. 30, 1998. Amended: Filed Dec. 3, 2007, effective May 30, 2008. Amended: Filed Dec. 5, 2013.

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4.020 Licenses, Restrictions on Licenses, Licensing Authority of the Executive Director, and Other Definitions. The commission is amending sections (3) and (4), adding new sections (5)–(7) and (10), deleting sections (5), (6) and (9), and renumbering sections (7), (8) and (10).

PURPOSE: This amendment updates the list of Level I and Level II examples to more broadly reflect position titles for licenses issued by the commission, updates the terminology for “key business entity,” deletes “person” from key person business entity, and eliminates affiliate supplier license.

(3) A key person/key [person] business entity license shall include:

(A) An officer, director, trustee, proprietor, managing agent, or general manager of an applicant or licensee, or of a **key** business entity [key person] of an applicant or licensee;

(B) A holder of any direct or indirect legal or beneficial publicly traded or privately held interest whose combined direct, indirect, or attributed publicly traded interest is five percent (5%) or more or privately held interest is one percent (1%) or more in an applicant or licensee or in a **key** business entity [key person] of an applicant or licensee—

1. A holder of five percent (5%) or more publicly traded interest or one percent (1%) or more privately held interest, but not more than ten percent (10%) publicly traded or privately held interest, who holds such interest only for passive (“Not involving active participation; esp., of or relating to a business enterprise in which an investor does not have immediate control over the activity that produces income.” *Black’s Law Dictionary* Seventh Edition) investment purposes (including economic purposes) may be exempted from licensure by the executive director;

2. The commission by majority vote may grant exemption from licensure for holdings of up to twenty percent (20%);

3. Exemptions may be granted to institutional investors in advance to hold interest in multiple licensees;

4. Exemptions shall be for two (2) years unless renewed;

5. Requests for exemption from licensure must be submitted on a Request of Waiver for Licensure of Institutional Investor form, which is available for public inspection at the offices of the commission and online at the commission’s website (www.mgc.dps.mo.gov). Request forms shall be submitted in advance of acquiring such interest or within ten (10) days thereafter certifying under oath—

A. The interest is being acquired for passive investment purposes;

B. The holder does not nor will it have any involvement in the management activities of the entity;

C. The holder does not have any intention of controlling the entity regardless of additional stock that may be acquired;

D. The holder will within ten (10) days notify the commission of any purchase of stock in the entity which causes the total holding of the entity’s outstanding stock to exceed the threshold for which the waiver is granted;

E. In the event the holder subsequently develops an intention of controlling or participating in the management of said entity, said holder shall notify the commission of said change and refrain from participating in management or exercising such control until approved for licensure by the commission;

F. The home and business address, occupation, employer, and title if the applicant is an individual; and

G. The type of entity (corporation, partnership, limited partnership, LLC, LLP, etc.), state of charter, and the names and both home and business address of the following personnel if the applicant is a business entity—

(I) Chief executive officer (CEO);

(II) Chief financial officer (CFO);

(III) Chief operating officer (COO);

(IV) Managing partner(s);

(V) General partner(s);

(VI) Members of the Board of Directors; and

(VII) The registered agent;

6. The executive director shall keep a record of all such exemptions granted and the positions held by each entity and shall present a written report on the same to the commission on a monthly basis; and

7. Nothing in this section including the granting of an exemption shall prohibit the commission, at a future date, in its sole discretion, with or without cause from requiring any owner of any interest in a licensee from becoming licensed by the commission or to divest itself of stock ownership;

(C) A holder of any direct or indirect legal or beneficial interest in an applicant or licensee or in a **key** business entity [*key person*] of an applicant or licensee if the interest was required to be issued under agreement with or authority of a government entity;

(4) Occupational license Level I is a person other than a key person/key [*person*] business entity who has management control or decision-making authority over the gaming operation, a key function of the gaming operation, or the development or oversight of the testing of gaming equipment or systems, including but not limited to:

[(A) *Internal audit manager;*]

[(B)] **(A) Director of casino operations;**

[(C) *Table games manager;*]

[(D) *Director of security;*]

[(E) *Controller;*]

[(F) *IT manager;*]

[(G) *Surveillance manager;*]

(B) Highest ranking table games department employee;

(C) Highest ranking security department employee;

(D) Highest ranking MIS department employee;

(E) Highest ranking surveillance department employee;

[(H)] **(F) Assistant general manager;**

[(I) *Slot department manager;*]

(G) Highest ranking slot department employee;

[(J)] **(H) Managers responsible for ensuring the integrity of all testing standards and certifications; [or]**

(I) Highest ranking finance department employee; or

[(K)] **(J) Any other person directed by the commission to file a Level I application.**

[(5) *Occupational license Level II is any person not a key or Level I who has access to the gaming floor, or secured areas, as an employee of any Class A, Class B, or Supplier licensee, and any other person directed by the commission or the executive director to file a Level II application.*]

(6) *Secured areas shall include any area or location where gaming functions may take place, be controlled, or affected. Secured areas shall also include any area so designated by the licensee's Internal Control System (ICS) or by the commission, including but not limited to:*

(A) Security;

(B) Surveillance;

(C) Audit;

(D) Accounting;

(E) Management Information Systems (MIS);

(F) Cage;

(G) Ticketing;

(H) Hard and soft count;

(I) Marine operations; and

(J) Any other area designated by the commission; and also

(K) Licensees may in their ICS request authorization for certain Level I licensees, key person licensees and others escorted by security or the area supervisor, to have access to secured areas other than the surveillance area.]

(5) Each Class B licensee at a minimum shall individually staff the following Level I positions with employees of the Class B licensee, which shall not be combined with any other required position:

(A) General manager;

(B) Casino operations manager/director, or a table games department manager/director and a slot department manager/director;

(C) Security department manager/director;

(D) Finance department manager/director;

(E) MIS department manager/director; and

(F) Surveillance department manager/director.

(6) In the event that one of the positions required by section (5) becomes vacant, an interim replacement licensee shall be immediately appointed to serve. The interim appointee may be one of the current Level I licensees required by section (5). The permanent position shall be staffed within one hundred eighty (180) days, unless otherwise approved by the commission.

(7) Occupational License Level II includes any of the following positions that are not required to hold an Occupational License Level I:

(A) Any position within a Missouri riverboat gaming operation that would require the holder to have access to the excursion gambling boat or secured area to perform his or her function or duties; provided that agents and nongaming vendors are not considered within Occupational License Level I or II unless otherwise notified by the commission;

(B) Any position related to a Missouri riverboat gaming operation in one (1) of the following areas: security, surveillance, audit, accounting, MIS, cage, ticketing, hard and soft count, and marine operations;

(C) Any position with a licensed gaming supplier company that would require the holder to have access to the excursion gambling boat to perform his or her function or duties if such function or duties involve installation, servicing, maintenance, repair or accessing secured or locked components of any gambling equipment or supplies, or involve verification or payment of patron awards; and

(D) Any other person or entity directed by the commission or the director to file a Level II application as an occupational licensee applicant.

[(7)] **(8) Supplier license is a license issued to a person or entity that—**

(A) Manufactures, sells, or leases gaming equipment, gaming supplies, or both;

(B) Provides gaming equipment maintenance or repair; or

(C) Provides testing services on gaming related equipment, components, peripherals, systems, or other items directed by the commission to a Class A or Class B licensee, or the commission.

[(8)] **(9) Temporary supplier license is a license authorized by the commission until the appropriate license can be obtained.**

[(9) Affiliate supplier license is required of any person who is an affiliate of a Class A or Class B licensee or a key person/key person business entity of a Class A licensee and sells or leases gambling equipment, gambling supplies, or both to its Class B licensee affiliate. For purposes of 11 CSR 45-4.205, an “affiliate” of, or a person “affiliated” with, a specific person is a person that directly or indirectly, through one (1) or more intermediaries, controls, or is controlled by, or is under common control with, the person specified. The term “control” (including the terms “controlling,” “controlled by,” and “under common control with”) means the possession, direct or indirect, of the power to direct or cause the direction of the management and policies of a person, whether through the ownership of voting shares, by contract, or otherwise.]

(10) Restricted Level II license is issued to an occupational license Level II licensee under the age of twenty-one (21).

[(10)](11) [Upon the effective date of this rule,] After May 30, 2008, all existing Class A licenses shall be divided into a Class A license, which shall be the operating company and one or more Class B license(s), which shall be the licensed riverboat gaming operation. Rules adopted prior to the adoption of this rule which previously referred to a Class A licensee shall refer to both Class A licensee and Class B licensee unless specifically identified otherwise.

*AUTHORITY: section[s] 313.004, RSMo 2000, and section 313.807, RSMo Supp. 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will cost one (1) Level I licensee a one thousand one hundred-dollar (\$1,100) application and license fee the first year and a one hundred-dollar (\$100) renewal fee each following year.

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**PRIVATE ENTITY
FISCAL NOTE**

I. Department Title: 11-- DEPARTMENT OF PUBLIC SAFETY
Division Title: 45—Missouri Gaming Commission
Chapter Title: 4—Licenses

**Rule Number and Title: 11 CSR 45-4.020 Licenses, Restrictions on Licenses, Licensing
Authority of the Executive Director, and Other Definitions**

Type of Rulemaking: PROPOSED AMENDMENT

II. SUMMARY OF FISCAL IMPACT

Estimate of the number of entities by class which would likely be affected by the adoption of the rule:	Classification by type of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
One (1) Level I licensee	Occupational Level I licensees	\$1,100 one (1)-time fee + \$100 annually

III. WORKSHEET

Application fee for one Level I license is \$1,000 plus \$100 for a new license with an annual renewal fee of \$100.

One Level I application and license fee = \$1,100 first year + \$100 each subsequent year

IV. ASSUMPTIONS

It is anticipated that one Class B licensee would have to submit a Level I license application for one employee. The cost for the application and license is \$1,100 for the first year, followed by an annual renewal cost of \$100.

The anticipated cost of the \$100 renewal fee will recur annually for the life of the rule.

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4.030 Application for Class A or Class B License. The commission is amending sections (1) and (2).

PURPOSE: This amendment updates the terminology for “key business entity” and updates a form name.

(1) License application shall be made on a form obtained from the commission. Each Class A or Class B license applicant must submit the Riverboat Gaming Application Form for itself, a *[key person/key person business entity]* **Key Person** and **License** Level I *[a]* Application for each individual key person associated with the application and a *[Riverboat Gaming]* **Key Business Entity Riverboat** Application Form for each **key** business entity *[key person]* associated with the applicant. The applicant must also submit Personal Disclosure Form II for any other person or entity (other than occupational licensees) associated with the applicant in any way, who is required by the commission or the director to execute such forms, which forms shall become part of the Class A or Class B application along with the key person/key *[person]* business entity forms. A copy of all necessary forms is available for public inspection at the offices of the commission and online at the commission’s web site.

(2) For a Class A or Class B license an applicant must disclose on an application form obtained from the commission at a minimum—

(A) The applicant’s full name, telephone number and the type of organizational structure under which the organization operates, including, without limitation, whether the applicant is an operating company or a holding company, identification of key persons/key *[person]* business entities, including identification of chief administrative officers, the background and skills of applicant and key persons;

(D) Information on the ability of applicant and key persons/key *[person]* business entities to conduct gaming operations;

(K) Whether applicant or parent company, if applicant is a subsidiary, or any key person/key *[person]* business entity currently holds or has ever held a license or permit issued by a governmental authority to own or operate a gaming facility or conduct any aspect of gambling. If the applicant, parent company or key person/key *[person]* business entity has held or holds a license or permit, the following must be disclosed:

1. The identity of the license or permit holder;
2. The jurisdiction issuing the license or permit;
3. The nature of the license or permit; and
4. The dates of issuance and termination, if any;

AUTHORITY: sections 313.004 and 313.807, RSMo 2000, and section 313.805, RSMo Supp. [2010] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule

*filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

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**Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses**

PROPOSED AMENDMENT

11 CSR 45-4.055 Application Period and Fees for Class A and Class B Licenses. The commission is amending section (1).

PURPOSE: This amendment updates the terminology for “key business entity.”

(1) The one (1)-time nonrefundable application fee for a Class A license shall be the greater of a) fifty thousand dollars (\$50,000) or b) fifteen thousand dollars (\$15,000) per key person/key [person] business entity not licensed as a key person/key [person] business entity or under investigation for a license as a key person/key [person] business entity at the time of application, or a greater amount as determined by the commission. The applicant or licensee shall be assessed fees, if any, to cover the additional costs of the investigation.

AUTHORITY: sections 313.004 and 313.812, RSMo 2000, and section 313.807, RSMo Supp. [2012]2013. This rule originally filed as 11 CSR 45-4.050, renumbered as 11 CSR 45-4.055, effective May 30, 2008. Original rule filed Dec. 3, 2007, effective May 30, 2008. Amended: Filed Aug. 30, 2012, effective March 30, 2013. Amended: Filed Dec. 5, 2013.

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

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**Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses**

PROPOSED AMENDMENT

11 CSR 45-4.190 License Renewal and Continuing Suitability Requirement. The commission is amending the title and section (2).

PURPOSE: This amendment removes affiliate supplier from the list of licensees, and updates the terminology for “key business entity.”

(2) Class A, Class B, **and** supplier[, *and affiliate supplier*] licensees and the key person, key [person] business entity, and occupational licensees thereof shall have a continuing obligation to demonstrate suitability to hold a license by complying with all gaming laws and regulations. The commission may reopen the investigation of a licensee at any time. The licensee shall be assessed fees, if any, to cover the additional costs of the investigation.

*AUTHORITY: section 313.004, RSMo 2000, and sections 313.800–313.850, RSMo 2000 and Supp. [2012] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

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Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4. 200 Supplier’s License. The commission is amending sections (2), (3), and (4).

PURPOSE: This amendment updates the terminology for “key business entity.”

(2) An application for a supplier’s license shall be made on a form obtained from the commission. Each supplier license applicant must submit the Supplier’s License Application Form for itself, a key person/key *[person]* business entity and Level I application for each individual key person associated with the application and a Supplier’s License Application Form for each **key** business entity *[key person]* associated with the applicant. The applicant must also submit Personal Disclosure Form II for any other person or entity (other than occupational licensees) associated with the applicant in any way, who is required by the commission or the director to execute such forms, which forms shall become part of the supplier application along with the key person/key *[person]* business entity forms. A copy of all necessary forms is available for public inspection at the offices of the commission and online at the commission’s web site.

(3) Applications shall include:

(E) A key person/key *[person]* business entity and Level I application for each key person;

(K) If the applicant is an organization other than a corporation, the following information must be disclosed:

1. The applicant’s full name including any trade names or fictitious names currently in use by the applicant in Missouri or any other jurisdiction;
2. The jurisdiction in which the applicant is organized;
3. Copies of any written agreement, constitution, or other document creating or governing the applicant’s organization or powers of organization;
4. The date the applicant commenced doing business in Missouri.

A. If the applicant is organized under laws other than Missouri laws, a copy of the authorization of Missouri to do business in Missouri;

B. If no authorization to do business in Missouri has been obtained, the applicant must state the reason the authorization has not been obtained;

5. The applicant’s federal and state tax returns for the past five (5) years;
6. The general nature of the applicant’s business;
7. The names and addresses of each partner, officer, or other person having or sharing policy-making authority who is a key person. As to each such person, the applicant must disclose—the nature and extent of any ownership interest—

A. Ownership interest shall include any beneficial owner. Beneficial ownership includes, but is not limited to, record ownership and: 1) Stock or other ownership in one (1) or more entities in a chain of parent and subsidiary or affiliated entities, any one (1) of which participates in the capital or profits of a licensee, regardless of the percentage of ownership involved; or 2) Any interest which entitles a person to benefits substantially equivalent to ownership by reason of any contract, understanding, relationship, agreement, or other arrangement even though the person is not the record owner. Unless there are special circumstances, securities held by an individual’s spouse or relatives, including children, living in the home, who are beneficially owned by the individual; and

B. Any voting interest, whether absolute or contingent, and the terms upon which the interest may be voted; and

8. The names, in alphabetical order, and addresses of any individual or other entity [*who holds*] **holding** a record or beneficial ownership in the application. Beneficial ownership includes, but is not limited to, record ownership and: 1) Stock or other ownership in one (1) or more entities in a chain of parent and subsidiary or affiliated entities, any one (1) of which participates in the capital or profits of a licensee, regardless of the percentage of ownership involved; or 2) Any interest which entitles a person to benefits substantially equivalent to ownership by reason of any contract, understanding, relationship, agreement or other arrangement even though the person is not the record owner. Unless there are special circumstances, securities held by an individual's spouse or relatives, including children, living in the home, who are beneficially owned by the individual. The following information shall be given concerning each individual:

A. The nature of the ownership interest;

B. Whether the ownership interest carries a vote and the terms upon which the interest may be voted; and

C. The percentage of ownership;

(M) Whether applicant or any key person/key [*person*] business entity currently holds, has ever held or applied for, a license or permit issued by a governmental authority to own or supply gaming equipment or operate a gaming facility or conduct any aspect of gambling. If the applicant has held or holds a license or permit, the applicant must disclose—

1. The identity of the license or permit holder;
2. The jurisdiction issuing the license or permit;
3. The nature of the license or permit; and
4. The dates of issuance and termination, if any;

(4) The applicant must disclose with respect to the applicant and all key persons/key [*person*] business entities—

*AUTHORITY: section 313.004, RSMo 2000, and sections 313.805 and 313.810, RSMo Supp. [2010] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

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Chapter 4—Licenses

PROPOSED RESCISSION

11 CSR 45-4.205 Affiliate Supplier's License. This rule established an affiliate supplier's license, which might have been issued to affiliates of riverboat licensees.

PURPOSE: The commission is rescinding this rule because there has not been a need for an affiliate supplier's license.

AUTHORITY: sections 313.004 and 313.812, RSMo 2000, and sections 313.800, 313.805, and 313.807, RSMo Supp. 2012. Original rule filed May 13, 1998, effective Oct. 30, 1998. Amended: Filed Oct. 29, 2001, effective May 30, 2002. Amended: Filed Dec. 3, 2007, effective May 30, 2008. Amended: Filed Aug. 30, 2012, effective March 30, 2013. Rescinded: Filed Dec. 5, 2013.

PUBLIC COST: This proposed rescission will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed rescission will not cost private entities more than five hundred dollars (\$500) in the aggregate.

NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed rescission with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4.260 Occupational Licenses for Class A, Class B, and Suppliers [and Affiliate Suppliers]. The commission is amending the title, sections (1), (2), and (6) , adding a new section (6) and renumbering the original section (6).

PURPOSE: This amendment sets the time limit for rescission of an occupational license upon termination of employment, removes affiliate supplier, and updates the terminology for “key business entity.”

(1) Every person in a position classified as Occupational License Level I or Occupational License Level II or otherwise participating in gaming operations in any capacity shall, prior to performing or practicing his/her business profession or skills, be a current employee of the Class A, Class B, **or** supplier[, *or affiliate supplier*] licensee, and have obtained the appropriate occupational license from the commission, except for public officers and public employees engaged in the performance of their official duties and other individuals exempted by the commission. The commission may authorize the director to license or make the initial determination of unsuitability on the application of any Level II occupational license applicant, and the commission may further authorize the director to make the initial determination to revoke or suspend the Level I or Level II occupational license of any person; provided, however, that this section shall not limit any other authorization of the director. The authorization provided hereunder shall not include the authority to review findings of a hearing officer under the provisions of 11 CSR 45-13.

(2) As a condition of licensure, all applicants for occupational licenses are required to be fingerprinted, photographed and to execute such waivers as may be provided by forms approved by the commission, provided that applicants for a **key** business entity [*key person*] license need not be fingerprinted or photographed.

(6) If the employment of a Level I or Level II occupational licensee with a Class A, Class B, or supplier licensee is terminated for any reason, and if the occupational licensee does not obtain employment with a Class A, Class B, or supplier licensee within sixty (60) days of said termination date, then the occupational license will be rescinded at the end of said sixty (60)-day time period.

[(6)] (7) The key person/key [*person*] business entity employed by suppliers will be required to be licensed by the Missouri Gaming Commission. The supplier key person/key [*person*] business entity application shall require a one (1)-time nonrefundable fee of one thousand dollars (\$1,000) plus the annual licensing fee of one hundred dollars (\$100). The applicant or licensee shall be assessed fees, if any, to cover the additional costs of the investigation. The licensing and renewal fees for Level I and Level II occupational licenses shall be the same as set forth for Class A and Class B occupational licensees. Additionally, the executive director may waive or modify licensing fees.

AUTHORITY: section 313.004, RSMo 2000, and section 313.805, RSMo Supp. [2012] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1,

1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will cost sixty-three (63) Level II licensees seven thousand eight hundred and seventy-five dollars (\$7,875), and one (1) Level I licensee one thousand one hundred dollars (\$1,100) for unused and replacement license fees annually in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

**FISCAL NOTE
PRIVATE COST**

- I. Department Title: 11-- DEPARTMENT OF PUBLIC SAFETY
Division Title: 45—Missouri Gaming Commission
Chapter Title: 4—Licenses**

Rule Number and Title:	11 CSR 45-4.260 Occupational Licenses for Class A, Class B, and Suppliers
Type of Rulemaking:	Proposed Amendment

II. SUMMARY OF FISCAL IMPACT

Estimate of the number of entities by class which would likely be affected by the adoption of the rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
63 Level II Licensees	Occupational Level II licensees	\$7,875 annually
One Occupational Level I licensee	Occupational Level I licensees	\$1,100 annually

III. WORKSHEET

63 Level II × \$125 = \$7,875 (application fee is \$75, licensee fee is \$50)

1 Level I × \$1,100 = \$1,100 (application fee is \$1000, licensee fee is \$100)

IV. ASSUMPTIONS

On a yearly average 63 Level II Licensees and 1 Level I Licensee will transfer or be rehired after separating employment with a casino after 60 days have lapsed. This revision to the rule will require them to pay a new licensing and application fee.

The anticipated total cost for this rule will recur annually for the life of the rule.

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4.380 Occupational and Key Person/Key [Person] Business Entity License Application and Annual Fees. The commission is amending the title, the purpose, sections (1), (2), and (7), deleting section (3), and renumbering sections (4)–(9).

PURPOSE: This amendment changes provisions for license renewal, updates the terminology for “key business entity,” and eliminates the option to self-renew a license.

PURPOSE: This rule establishes license fees for occupational and key person/key [person] business entity licensees of Class A and Class B licensees.

(1) The [one (1)-time] nonrefundable application filing fee shall be—

(A) Key person/key [person] business entity—

1. Class A and B \$15,000
2. Supplier[s] \$ 1,000

(2) The annual licensing fee shall be—

(A) Key person/key [person] business entity—

1. Class A and B \$ 250
2. Suppliers \$ 100

[(3) A key person/key person business entity or Level I licensee may renew their license only once following each termination of their association with a Class A, Class B or supplier licensee.]

[(4) (3) The applicant or licensee shall be assessed fees, if any, to cover the additional costs of the investigation.

[(5) (4) The initial annual fee for occupational licenses shall be due upon the earlier of—

- (A) The date that a temporary identification badge is issued to the applicant;
- (B) The date that a permanent identification badge is issued to the applicant; or
- (C) The date that the commission passes a resolution granting the license to the applicant.

[(6) (5) The initial annual fee for occupational licenses shall be paid in full to cover the first year of licensure. The license expires biennially on the last day of the month of issue. The annual occupational license renewal fee will be billed to the Class A, Class B, or supplier licensee.

*[(7) (6) Each occupational license shall expire biennially on the last day of the month of issue, **or may be rescinded by operation of 11 CSR 45-4.260(6)**, but the licensing hearing shall be subject to being reopened at any time.*

[(8) (7) The annual fee for an occupational license is nonrefundable and is due regardless of whether the renewal applicant obtains a renewed license.

[(9) (8) The executive director may waive or modify licensing fees. Exemption shall not be applicable for testing laboratories.

*AUTHORITY: sections 313.004 and 313.800–313.850, RSMo 2000 and Supp. [2012] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4.390 Occupational License Renewal. The commission is adding a section (2) and renumbering the remaining section.

PURPOSE: This amendment eliminates the option to self-renew a license.

(2) A Level I or Level II licensee may only renew his/her license if the licensee is a current employee of a Class A, Class B, or supplier licensee. A key person may only renew his/her license if the licensee is associated with a Class A or supplier licensee.

[(2)] **(3)** The director shall have the power to renew any occupational license, provided that if the director intends not to renew an occupational license which the licensee has appropriately requested to have renewed, the director shall notify the commission in writing of his/her intention not to renew and the reasons for his/her decision at least ten (10) days before the license expires.

*AUTHORITY: section 313.004, RSMo 2000, and sections 313.800, 313.805, and 313.822, RSMo Supp. [2012] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: The elimination of the self-renew option will result in a five thousand seven hundred dollar (\$5,700) reduction in revenue for the Missouri Gaming Commission annually in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

**FISCAL NOTE
PUBLIC COST**

- I. Department Title: 11-- DEPARTMENT OF PUBLIC SAFETY
Division Title: 45—Missouri Gaming Commission
Chapter Title: 4—Licenses**

Rule Number and Title:	11 CSR 45-4.390 Occupational License Renewal
Type of Rulemaking:	Proposed Amendment

II. SUMMARY OF FISCAL IMPACT

Affected Agency or Political Subdivision	Estimated Cost of Compliance in the Aggregate
Missouri Gaming Commission	\$5,700 per fiscal year

II. WORKSHEET

Self-Pay Licensing Fees by Fiscal Year

FY 11 \$6,700

FY 12 \$5,500

FY 13 \$4,900

$\$17,100 \div 3 \text{ years} = \$5,700 \text{ per fiscal year}$

IV. ASSUMPTIONS

The Missouri Gaming Commission would no longer accept licensing fees from Level I and Level II occupational licensees who self-pay and are not currently employed by a Class A, Class B or Supplier licensee. The estimated cost is the loss of renewal fees received by the Missouri Gaming Commission from these individuals each fiscal year. The estimated cost is the average of licensing renewal fees received over the last three completed fiscal years.

The anticipated revenue reduction estimate will recur annually for the life of the rule.

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses

PROPOSED AMENDMENT

11 CSR 45-4.400 [*Occupational Licensure Levels*] **Licensee Performance of Duties.** The commission is amending the title and deleting sections (2) and (3).

PURPOSE: This amendment removes definitions for occupational licenses which may be found in other rules in Chapter 4.

[(2) *Occupational License Level I includes the following positions or their equivalent:*

(A) *Internal Audit Manager;*

(B) *Director of Casino Operations;*

(C) *Director of Security;*

(D) *Controller;*

(E) *IT Manager;*

(F) *Slot Department Manager;*

(G) *Surveillance Manager;*

(H) *Assistant General Manager;*

(I) *Table Games Manager;*

(J) *Managers responsible for ensuring the integrity of all testing standards and certifications; or*

(K) *Any other person or entity who engages in an occupation associated in activities regulated under the riverboat gaming act or a riverboat gaming operation and is directed by the commission or its director to file a Level I application.*

(3) *Occupational License Level Two (II) includes any of the following positions that are not required to hold an Occupational License Level One (I):*

(A) *any position within a Missouri riverboat gaming operation that would require the holder to have access to the excursion gambling boat to perform his or her function or duties; provided that agents and nongaming vendors are not considered within occupational license level I or II unless otherwise notified by the commission;*

(B) *Any position related to a Missouri riverboat gaming operation in one (1) of the following areas: security, surveillance, audit, accounting, MIS, cage, ticketing, hard and soft count and marine operations;*

(C) *Any position with a licensed gaming supplier company that would require the holder to have access to the excursion gambling boat to perform his or her function or duties if such function or duties involve installation, servicing, maintenance, repair or accessing secured or locked components of any gambling equipment or supplies or involve verification or payment of patron awards; and*

(D) *Any other person or entity directed by the commission or the director to file a Level II application as an occupational licensee applicant.]*

AUTHORITY: *section[s] 313.004, RSMo 2000, and section 313.805, RSMo Supp. 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: *This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

PRIVATE COST: *This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.*

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

**Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses**

PROPOSED AMENDMENT

11 CSR 45-4.410 Identification Badge Requirements. The commission is amending sections (1) and (3).

PURPOSE: This amendment clarifies the requirement for the identification badge to be surrendered to the property that issued the identification badge, updates the classification designation in section (3), and updates terminology for Class B licensees.

(1) All employees and occupational licensees [*other than key person/key person business entity licensees*] shall at all times while performing the functions of their positions display on their person in a clearly visible manner a valid, riverboat-issued, casino access badge, unless a waiver has been granted in writing for a particular job function. No casino access badge granting access to any riverboat gaming operation may be held by any person unless that person **is an employee of the Class B licensee and** has been authorized for such access by the [*Class A or*] Class B applicant or licensee of the riverboat gaming operation for which the badge is to be issued. Each [*Class A or*] Class B applicant or licensee must notify the commission that such authorization has been granted before any identification badge may be issued to the person. Each [*Class A or*] Class B applicant or licensee must notify the commission within ten (10) days if any such authorization has been revoked. **General managers, other key person licensees, and internal auditors who are employees of the Class A licensee may also be granted casino access badges. All other employees of the Class A licensee must obtain and display a visitor badge while performing the functions of their positions at the riverboat gaming operation.**

(3) Casino access badges are not transferable and upon resignation or termination of employment, [*an identification*] **the access** badge must be returned by the occupational licensee to the holder of a Class [*A*] **B** license [*or to the commission. If returned to the holder of a Class A license, the holder must then return the badge to the commission*].

*AUTHORITY: sections 313.004 and 313.850, RSMo 2000 and section 313.800, RSMo Supp. [2007]2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

**Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 4—Licenses**

PROPOSED AMENDMENT

11 CSR 45-4.420 Occupational License. The commission is amending section (1).

PURPOSE: This amendment removes “key person business entity” from requirement to display a badge.

(1) Occupational licensees other than key persons[/key person business entity licensees] shall at all times while performing the functions of their positions display in a clearly visible manner, a valid, commission-issued occupational license badge.

AUTHORITY: sections 313.004 and 313.850, RSMo 2000 and section 313.800, RSMo Supp. [2007] 2013. Original rule filed May 13, 1998, effective Oct. 30, 1998. Amended: Filed Dec. 7, 2001, effective June 30, 2002. Amended: Filed Dec. 3, 2007, effective May 30, 2008. Amended: Filed Dec. 5, 2013.

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission’s Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 7—Security and Surveillance

PROPOSED RULE

11 CSR 45-7.170 Access to Areas of Class B Licensee Facilities

PURPOSE: This rule establishes procedures for controlling access to areas of Class B licensee facilities.

(1) Secured areas shall include any area or location so designated by the licensee's Internal Control System (ICS) or by the commission, including but not limited to:

- (A) Surveillance;
- (B) Areas housing critical information technology systems;
- (C) Cage;
- (D) Main bank/vault;
- (E) Slot maintenance rooms,
- (F) Electronic gaming devices (EGD) storage rooms;
- (G) Count room and cart storage room;
- (H) Pit;
- (I) Card and dice storage and inspection rooms; and
- (J) Any other area designated by the commission.

(2) A security or area supervisor escort is required for any individual accessing a secured area, except for occupational licensees who work in that secured area at that property. Vendors, visitors, and other personnel who need access to the Management Information Systems (MIS) secured areas may be escorted by MIS personnel instead of the area supervisor or security.

(3) Employees of non-gaming vendors that provide goods and services directly to Class B licensees and who require periodic access to public areas of the casino floor, or areas off the gaming floor open to all employees, may access these areas without an escort.

(A) The Class B licensee shall be responsible for the conduct and actions of the vendor while unescorted on the licensed premises.

(B) Vendors shall be required to report to security to obtain a vendor badge and sign the Visitor/Vendor Log indicating time in, time out, and the reason for their visit.

AUTHORITY: section 313.004, RSMo 2000 and section 313.805, RSMo Supp. 2013. Original rule filed Dec. 5, 2013.

PUBLIC COST: This proposed rule will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed rule will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed rule with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

**Title 11 – DEPARTMENT OF PUBLIC SAFETY
Division 45 – Missouri Gaming Commission
Chapter 9 – Internal Control System**

PROPOSED AMENDMENT

11 CSR 45-9.113 Minimum Internal Control Standards (MICS)—Chapter M. The commission is amending the title and section (1).

PURPOSE: This amendment removes a sentence in Chapter M § 1.02 pertaining to the surveillance department's organizational structure, updates M § 3.01 to require access to be logged on a Surveillance Ingress/Egress Log, and removes section M § 4.04 restrictions for reviewing surveillance recordings.

PUBLISHER'S NOTE: The secretary of state has determined that the publication of the entire text of the material which is incorporated by reference as a portion of this amendment would be unduly cumbersome or expensive. This material as incorporated by reference in this amendment shall be maintained by the agency at its headquarters and shall be made available to the public for inspection and copying at no more than the actual cost of reproduction. This note applies only to the reference material. The entire text of the amendment is printed here. The Minimum Internal Control Standards may also be accessed at <http://www.mgc.dps.mo.gov>.

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission's opinion satisfy 11 CSR 45-9.020, as set forth in Minimum Internal Control Standards (MICS) Chapter M—Surveillance, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter M does not incorporate any subsequent amendments or additions as adopted by the commission on *[September 29, 2010]* **December 4, 2013**.

AUTHORITY: section 313.004, RSMo 2000 and sections 313.800 and 313.805, RSMo Supp. [2010] 2013. Original rule filed June 30, 2010, effective Jan. 30, 2011. Amended: Filed Dec. 5, 2013.

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER M – SURVEILLANCE

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Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2011. Revised December 4, 2013 (1.02, 3.01, 4.04)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER M - SURVEILLANCE
(11 CSR 45-7)

§ 1 **General**

- 1.01 Closed circuit surveillance systems and surveillance coverage shall continuously comply with all requirements of 11 CSR 45-7 and the MICS.
- 1.02 The Surveillance Department shall be independent of all other departments. The Surveillance Director shall report directly to an organizational level above that of General Manager.
- 1.03 Unless otherwise specifically authorized by MGC, only Surveillance and MGC personnel shall be permitted direct or indirect control, use of, or access to Surveillance Department camera systems. Security may operate a closed circuit television (CCTV) system to monitor non-gaming areas. Surveillance may have access or override authority for Security's CCTV. However, Security shall not have access to the gaming system operated by Surveillance.
- 1.04 The General Manager may have a surveillance monitor and related equipment necessary to select and direct various Surveillance Department cameras; however, both the Surveillance Department and MGC shall be able to override the controls in the General Manager's office. The General Manager shall not have the capability to monitor any camera inside the Surveillance Department. A video recorder shall be maintained by the Surveillance Department that records all video displayed on the General Manager's monitor. Video recordings from the General Manager's recorder shall be maintained by the Surveillance Department for at least 30 days and be immediately available to any Commission agent upon request.
- 1.05 Surveillance personnel shall have no other gaming related duties within the riverboat gaming operation. (11 CSR 45-7.050(1)(C))
- 1.06 Surveillance personnel shall possess, but are not required to display, a valid riverboat-issued casino access badge and a commission-issued occupational license badge while on property. Surveillance personnel shall still comply with 11 CSR 45-12.090 and 11 CSR 45-5.030 which prohibits employees from playing any gambling game, or receiving or consuming any intoxicating liquor while on the premises.
- 1.07 A copy of the current casino floor plan showing the placement of all surveillance cameras shall be provided for the MGC surveillance room within 24 hours of any change.
- 1.08 All required dedicated camera coverage shall remain in the MGC approved position. When changes to required dedicated camera coverage are needed, the MGC boat agent on duty shall approve the new coverage prior to use.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2011. Revised December 4, 2013 (1.02, 3.01, 4.04)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER M - SURVEILLANCE
(11 CSR 45-7)

§ 2 Surveillance Requirements

- 2.01 Surveillance coverage of slot machines shall provide sufficient clarity to read both the asset number and game outcome with the same camera.
- 2.02 Surveillance coverage of table games and poker shall meet the following standards:
- (A) Fixed cameras shall provide views that enable a layperson to clearly determine table number, chip values, cash denominations, card values (including pips, face cards [K, Q or J] and, if relevant, suits), and game outcome (e.g., ability to reconstruct hands) excluding dice values on craps tables. Dedicated coverage of the game outcome on table games is only required for games which do not have an automated game history that records at least the last 50 rounds of play;
 - (B) Table bank trays, betting areas and card placement shall be continuously covered. Rail-to-rail fixed coverage is not required;
 - (C) Player's and Dealer's hands shall be recorded by Surveillance anytime the person's hands touch cards, chips in the betting area, or the chip tray. If table size or field of view is such that one fixed camera cannot provide the required coverage, whatever number of cameras needed to meet the coverage requirements shall be used;
 - (D) If PTZ cameras are used to provide the required continuous coverage, they shall be locked in position dedicated to that location and shall function as a fixed camera; and
 - (E) Any signage displaying the value of a progressive or bad beat award shall have dedicated coverage.
- 2.03 Surveillance coverage in the cage shall be recorded with sufficient clarity to identify all paperwork and the denomination of chips and currency.
- 2.04 Surveillance coverage of the entry and exit turnstile areas shall be sufficiently clear to permit verification of admission counts and identification of persons.
- 2.05 Panic alarms shall be audible in Surveillance.

§ 3 Surveillance Room Access and Control

- 3.01 Unless otherwise specifically authorized by MGC, access to the surveillance room is restricted to Surveillance and MGC personnel. Any other person needing access to the surveillance room shall obtain prior permission of the MGC and their access shall be recorded on a Surveillance Ingress/Egress Log. (11 CSR 45-7.050)

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2011. Revised December 4, 2013 (1.02, 3.01, 4.04)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER M - SURVEILLANCE
(11 CSR 45-7)

- 3.02 The MGC Boat Supervisor shall be notified prior to internal or external auditors accessing the surveillance room. Auditor access shall be limited to the following:
- (A) Internal Audit may access the surveillance room to perform audit work up to 30 hours per calendar quarter; and
 - (B) External Audit personnel may access the surveillance room to perform audit work up to 15 hours per calendar quarter.
- 3.03 The surveillance equipment in the MGC surveillance room shall be able to monitor and record without being overridden. Only MGC personnel shall have the ability to monitor the camera(s) required by 11 CSR 45-7.050 installed in the casino surveillance room.

§ 4 Operations

- 4.01 Describe in the Internal Control System the procedures to be followed by surveillance personnel during their shift including:
- (A) inspection of equipment;
 - (B) testing procedures of equipment;
 - (C) video recording media maintenance;
 - (D) retention and release of video recordings; and
 - (E) preparation of shift logs, incident reports, and other forms.
- 4.02 Surveillance personnel shall video record in its entirety and continuously monitor all drops and counts, including drops and counts of pooled dealer, cage cashier and slot attendant tips.
- 4.03 A Surveillance Release Log shall be maintained recording who receives a copy of video recordings. Video recordings of criminal or regulatory investigations or violations shall not be released to anyone without the approval of an MGC agent.
- 4.04 At least three Surveillance personnel per excursion gambling boat shall be on duty in the surveillance room actively monitoring gaming activities when gaming, drops, or counts are being conducted. Additional personnel shall be available to provide required live observation and other duties and to allow for meals and breaks.
- 4.05 Whenever panic alarms are activated the MGC boat agent on duty and Security shall be notified. Tests of all panic alarms shall be conducted by Surveillance at least once each calendar month and documented in the Surveillance Shift Log.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2011. Revised December 4, 2013 (1.02, 3.01, 4.04)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER M - SURVEILLANCE
(11 CSR 45-7)

§ 5 Records (11 CSR 45-7.070)

5.01 A Surveillance Shift Log shall:

- (A) be continuously maintained by Surveillance personnel;
- (B) be chronological;
- (C) include entries for:
 - (1) the notification of any maintenance or repair of any gaming device or money handling equipment;
 - (2) gaming table drop box exchanges;
 - (3) any detention or questioning of patrons or employees by the Security department, including the identity of:
 - (a) the patrons or employees; and
 - (b) the Security personnel involved;
 - (4) the beginning, end, and any interruptions of all required drop and count processes, specifying which drop or count is being conducted (including emergency drops);
 - (5) any observed procedural or Internal Control violations;
 - (6) any observed criminal activity;
 - (7) any surveillance conducted on anyone or any activity that appears:
 - (a) to be abnormal, irregular, illegal or an emergency; or
 - (b) to violate the rules of the commission;
 - (8) any surveillance conducted at the request of:
 - (a) an employee of the Class B Licensee; or
 - (b) a commission agent;
 - (9) all persons reviewing surveillance recordings;
 - (10) all persons entering and exiting the Surveillance room, excluding surveillance personnel and MGC personnel;
 - (11) all surveillance personnel entering and exiting the Surveillance room only at the beginning and ending of their shifts; and
 - (12) any other notations deemed necessary by Surveillance personnel or the commission to ensure compliance with the statutes, regulations, and MICS;
- (D) be provided to the MGC Boat Supervisor daily; and
- (E) be retained for at least one (1) year.

5.02 A Surveillance Incident Report shall:

- (A) be made by the person responsible for monitoring the activity;
- (B) contain details of any incident observed that involved abnormal or criminal activity;
- (C) be provided to the MGC Boat Supervisor daily; and
- (D) be retained a minimum of one (1) year.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2011. Revised December 4, 2013 (1.02, 3.01, 4.04)

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(11 CSR 45-7)

- 5.03 All Surveillance department video recordings, logs, and reports shall: (11 CSR 45-7.080)
- (A) be retained in a manner to allow them to be easily retrieved by date; and
 - (B) be furnished to any MGC agent immediately upon request.

§ 6 Chain of Evidence

- 6.01 Include in the Internal Control System the procedures for maintaining, copying and releasing any video recordings which contain suspected illegal activities or violations of regulations, MICS, or internal controls. Ensure the MGC boat agent on duty is notified immediately of suspected illegal activity and of the video recording's existence.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2011. Revised December 4, 2013 (1.02, 3.01, 4.04)

**Title 11 – DEPARTMENT OF PUBLIC SAFETY
Division 45 – Missouri Gaming Commission
Chapter 9 – Internal Control System**

PROPOSED AMENDMENT

11 CSR 45-9.118 Minimum Internal Control Standards (MICS)—Chapter R. The commission is amending section (1).

PURPOSE: This amendment updates minimum internal control standards regarding the use of commission forms by revising the Casino/Cage Multiple Transaction Log, and Surveillance Release Log, and adding a Surveillance Ingress/Egress Log.

PUBLISHER'S NOTE: The secretary of state has determined that the publication of the entire text of the material which is incorporated by reference as a portion of this amendment would be unduly cumbersome or expensive. This material as incorporated by reference in this amendment shall be maintained by the agency at its headquarters and shall be made available to the public for inspection and copying at no more than the actual cost of reproduction. This note applies only to the reference material. The entire text of the amendment is printed here. The Minimum Internal Control Standards may also be accessed at <http://www.mgc.dps.mo.gov>.

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission's opinion satisfy 11 CSR 45-9.020, as set forth in *Minimum Internal Control Standards (MICS) Chapter R—Forms*, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter R does not incorporate any subsequent amendments or additions as adopted by the commission on [August 21, 2013] **December 4, 2013**.

AUTHORITY: section 313.004, RSMo 2000, and sections 313.800 and 313.805, RSMo Supp. [2012] 2013. Original rule filed June 30, 2010, effective Jan. 30, 2011. Amended: Filed Dec. 8, 2011, effective July 30, 2012. Amended: Filed Sept. 27, 2012, effective May 30, 2013. Amended: Filed May 1, 2013, effective Dec. 30, 2013. Amended: Filed Dec. 5, 2013.

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

MISSOURI GAMING COMMISSION

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER R – FORMS

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Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005, added Card & Dice Pit Storage Log & revised 2.01. Revised Oct. 30, 2007. Revised April 30, 2009 (changed Class A to B, revised sections 1, 2.02, 6 (deleted manual form dispensers), 7.01 and 8.01). Revised January 30, 2011 (7.01). Revised July 30, 2012 (revised 2.01, 2.03, 7.01, and added 2.07). Revised May 30, 2013 (1, 2.03, 302, 7.01). Revised December 30, 2013 (revised Sections 1, 7.01, and added 2.08). Revised December 4, 2013 (7.01)

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Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005, added Card & Dice Pit Storage Log & revised 2.01. Revised Oct. 30, 2007. Revised April 30, 2009 (changed Class A to B, revised sections 1, 2.02, 6 (deleted manual form dispensers), 7.01 and 8.01). Revised January 30, 2011 (7.0). Revised July 30, 2012 (revised 2.01, 2.03, 7.01, and added 2.07). Revised May 30, 2013 (1, 2.03, 302, 7.01). Revised December 30, 2013 (revised Sections 1, 7.01, and added 2.08). Revised December 4, 2013 (7.01)

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§ 2 General

- 2.01 The forms index is not an all-inclusive list of forms to be used by the Class B Licensee. The Internal Control System shall include a copy of each form discussed in the Class B Licensee's Internal Control System and each form shall be listed in a forms index and a description of required information shall be included in Forms Description section.
- 2.02 The Class B Licensee shall use the forms approved in Chapter R of the Internal Control System.
- 2.03 All information shall be recorded in ink or other permanent form. Monetary corrections to a figure originally recorded may only be made in ink by crossing out the error, entering the correct figure, and obtaining the initials of the employee making the change and the initials of the employee's supervisor. Non-monetary corrections shall be initialed by the employee making the correction. If an Accounting Department employee makes the corrections after the completion and transfer of the documentation, that individual shall initial the correction(s) and include their MGC license number.
- 2.04 All forms shall include the Class B Licensee's name and title of the form.
- 2.05 Any forms that are not pre-numbered shall be maintained and controlled by the applicable department manager.
- 2.06 When a multi-part form is required, ensure that each part is distinguishable.
- 2.07 When multi-part forms are required on non-prenumbered forms, the required number of copies may be computer-printed, instead of using a multi-part form. However, original signatures are required on all copies.
- 2.08 Forms provided by the commission shall not be altered if used to satisfy the forms required by this chapter.

§ 3 Signatures

- 3.01 All signatures shall include the employee's first initial, last name, and the last six digits of the MGC license number which shall be legible.
- 3.02 The Class B Licensee shall indicate in the forms section which forms have an electronic signature. An electronic signature is acceptable only when the signature is auto populated to the form from the employee's login by the computer system. The signature

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cannot be manually keyed into the report to meet the requirement of an electronic signature.

§ 4 Control of Forms

- 4.01 Accounting shall be responsible for the receipt, control, and issuance of pre-numbered forms until the applicable operating department receives custody.

§ 5 Numbering

- 5.01 All manual control forms shall be pre-numbered by the manufacturer.
- 5.02 All computerized forms shall be sequentially numbered by the computer system.

§ 6 Voiding Forms

- 6.01 In the event a form has to be voided, the original and all copies shall be marked “void” and accompanied by the signature of the employee voiding the form and an employee verifying the void, with a brief explanation of why it was voided. If a void is required because a sequentially numbered form failed to print, this information, along with the form control number, date, and time, shall be recorded on a supplemental document and retained.

§ 7 Forms Description

- 7.01 The following represents the forms required by the MICS and the minimum standard information required for each form.
- (A) Cards/Dice Inventory Ledgers
 - 1) date of receipt, count, or issuance
 - 2) quantity of each style/color of cards and dice received/issued
 - 3) balance of inventory on hand
 - 4) required signatures
 - (B) Cards and Dice Cancellation/Destruction Log
 - 1) date
 - 2) date and time of cancellation or destruction
 - 3) quantity of decks and dice repackaged, canceled, and/or destroyed
 - 4) required signatures
 - (C) Card and Dice Pit Storage Log
 - 1) date
 - 2) quantity and description of all cards and dice placed in the compartment

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- 3) quantity and description of all cards and dice removed from the compartment
- 4) current number of each design and color combination of cards and dice
- 5) log entry documenting the daily verification of the current inventory
- (D) Cashier/Bank Count Sheet
 - 1) date and time
 - 2) location of bank
 - 3) amount of each type and denomination of funds;
 - 4) actual count total (closing inventory)
 - 5) accountability total
 - 6) amount of overages or shortages
 - 7) required signatures
- (E) Casino/Cage Multiple Transaction Log
 - 1) Location–Casino cage/bank where cash transaction(s) occurred.
 - 2) Date–Date of the multiple transaction log. The log will cover the entire gaming day.
 - 3) Patron Name–Patron’s full name if known or provided by the patron. If patron refuses to provide his/her name, include additional description to help identify person.
 - 4) Patron Description–If patron’s name is unknown, complete description of the patron, including sex, nationality, weight, height, hair color, and any other distinguishing features.
 - 5) Amount–Total cash transaction amount.
 - 6) Transaction Type–Transaction types for casino cages are as follows:
 - a) Cash Out–Cashing personal checks, travelers checks, credit card advance checks, etc.;
 - b) Chip Redemption–Redeeming gaming chips for cash. Include gaming location in comments column;
 - c) Deposit In–Safekeeping deposit;
 - d) Deposit Out–Withdrawing a safekeeping deposit; and
 - e) Other–Any other cash transaction payment of EGD jackpots, and exchanges of currency for currency.
 - 7) Time–Time of the transaction including AM/PM.
 - 8) Employee’s Signature and MGC License Number–Employee logging the transaction must sign the appropriate log entry and include their MGC license number.
 - 9) Comments–Additional information useful in identifying the patron or explaining the transaction.
 - 10) Page _____ of _____ –Page number and total pages of the log for the gaming day.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005, added Card & Dice Pit Storage Log & revised 2.01. Revised Oct. 30, 2007. Revised April 30, 2009 (changed Class A to B, revised sections 1, 2.02, 6 (deleted manual form dispensers), 7.01 and 8.01). Revised January 30, 2011 (7.0). Revised July 30, 2012 (revised 2.01, 2.03, 7.01, and added 2.07). Revised May 30, 2013 (1, 2.03, 302, 7.01). Revised December 30, 2013 (revised Sections 1, 7.01, and added 2.08). Revised December 4, 2013 (7.01)

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- (F) Chip Inventory Ledger
 - 1) date of receipt, issuance and destruction
 - 2) number of each denomination of chips received, issued, or destroyed
 - 3) dollar amount of each denomination of value chips received, issued, or destroyed
 - 4) number and description of non-value chips received, issued, or destroyed
 - 5) required signatures
 - 6) identification of primary chips held in reserve with the word “reserve”
- (G) Safekeeping Deposit/Withdrawal
 - 1) preprinted number on all copies
 - 2) patron’s name and signature
 - 3) date of deposit/withdrawals
 - 4) amount of deposit/withdrawals (alpha and numeric)
 - 5) type of deposit/withdrawal
 - 6) reason for deposit
 - 7) required signatures
- (H) Daily Passenger Report
 - 1) date
 - 2) cruise times
 - 3) beginning and ending entrance meter readings
 - 4) beginning and ending exit meter readings
 - 5) time the meter readings were taken
 - 6) back to back passenger count (stayovers)
 - 7) total passenger count from meter readings (entrances/exits)
 - 8) total ticket count
 - 9) end of day manual count, if applicable
 - 10) calculated admission tax for the day
 - 11) required signatures
- (I) Duplicate Key Inventory Log
 - 1) date and time
 - 2) key name, which shall be identical to the key name on the sensitive key access list
 - 3) key number
 - 4) number of keys in beginning inventory
 - 5) number of keys added or removed
 - 6) number of keys in ending inventory
 - 7) reason for adding or removing keys
 - 8) required signatures of the two individuals accessing the box
 - 9) signature of employee receiving the key
- (J) Tips and Gratuity Deposit
 - 1) date
 - 2) amount of chips by denomination

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- 3) total amount of all denominations
- 4) required signatures
- (K) Temporary Bank Voucher
 - 1) date and time
 - 2) location of bank
 - 3) amount of funds issued
 - 4) signature of main bank cashier issuing the funds
 - 5) signature of individual receiving funds
 - 6) signature of individual returning funds
 - 7) signature of main bank cashier receiving returned funds
- (L) Duplication of CPSM Log
 - 1) date
 - 2) manufacturer
 - 3) program number
 - 4) personnel involved
 - 5) disposition of any permanently removed CPSM
- (M) EGD Drop Compartment Sweeps Log
 - 1) EGD number and location
 - 2) date and time
 - 3) signature of employee performing the sweep
 - 4) supervisor's signature
- (N) EGD Drop/Win Report
 - 1) gaming date
 - 2) total bill drop
 - 3) total coupon drop
 - 4) total ticket drop
 - 5) total jackpot payouts
 - 6) total CEP In
 - 7) total CEP Out
 - 8) total NCEP In
 - 9) total NCEP Out
 - 10) total drop by denomination
 - 11) total drop all denominations
 - 12) net win (loss) by denomination and total
 - 13) accounting representative's signature
- (O) EGD Entry Access Log (MEAL Book)
 - 1) EGD number and location
 - 2) date and time
 - 3) reason for entry
 - 4) required signatures

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- (P) EGD Hand-Paid Jackpot Form
- 1) date and time
 - 2) EGD number, location and denomination
 - 3) amount of jackpot before taxes are withheld, both alpha and numeric (Alpha is optional if another unalterable method is used for evidencing the amount of the jackpot.)
 - 4) taxes withheld (federal and state)
 - 5) number of credits played
 - 6) game theme and outcome (e.g., reel symbols, card values and suits, scatter pay, etc.)
 - 7) amount paid to patron, both alpha and numeric (Alpha is optional if another unalterable method is used for evidencing the amount paid to patron.)
 - 8) signature of cashier
 - 9) signature of winning guest (only required when a manual procedure or override must be used)
 - 10) signature of the employee paying the jackpot
 - 11) signature of the employee verifying and witnessing the payout
 - 12) preprinted or computer generated sequential number
- (Q) EGD Hopper Fill Slip
- 1) date and time
 - 2) EGD number, location and denomination
 - 3) amount of hopper fill (numeric only is authorized if produced by an automated system)
 - 4) required signatures
- (R) EGD Sweeps Log
- 1) EGD number and location
 - 2) date and time
 - 3) signature of employee performing the sweep
 - 4) supervisor's signature
- (S) Even Exchange Slip
- 1) date, time and locations (to and from)
 - 2) amounts to be exchanged by type
 - 3) amounts to be changed for
 - 4) required signatures
 - 5) total exchanged
- (T) Cage/Bank Variance Slip
- 1) date and time
 - 2) location of bank
 - 3) amount of overage or shortage
 - 4) required signatures

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- (U) Ingress/Egress Logs (Count Room and Cages)
 - 1) date
 - 2) printed name
 - 3) time in and out
 - 4) reason for entry
 - 5) required signatures
- (V) Main Bank/Vault Accountability
 - 1) date and shift
 - 2) opening balance
 - 3) amount of each type of accountability transactions
 - 4) detail of the total main bank/vault inventory (currency, coin, chips, safekeeping deposits, unclaimed property account and etc.)
 - 5) total main bank/vault inventory
 - 6) overages and shortages
 - 7) closing balance
 - 8) required signatures
- (W) Master Gaming Report
 - 1) gaming date
 - 2) game and table number
 - 3) table opener
 - 4) total fill slips
 - 5) total credit slips
 - 6) table closer
 - 7) total drop per table
 - 8) overall totals by game
 - 9) total win/loss
 - 10) required signatures
- (X) Reserved
- (Y) RAM Clearing Slip
 - 1) date and time
 - 2) EGD number, location and credits played
 - 3) dollar value of all progressive jackpot meters displayed
 - 4) reason for RAM clear
 - 5) required signatures
- (Z) Returned Check Log
 - 1) name and address of the person who presented the check
 - 2) date of the check
 - 3) amount of the check
 - 4) check number
 - 5) date the licensee received notification from a financial institution that the check was not accepted

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- 6) date of entry on the returned check log
- 7) date(s) and amount(s) of any payments received on the check after being returned by a financial institution
- (AA) Sensitive Key Log
 - 1) date
 - 2) key number or ring number
 - 3) individual/automated key box issuing key
 - 4) individual receiving key
 - 5) time key signed out
 - 6) time key signed in
 - 7) individual returning key
 - 8) individual/automated key box receiving returned key
- (BB) Signature Card
 - 1) hire date
 - 2) employee name
 - 3) MGC license number
 - 4) exemplar initials
 - 5) exemplar signature (minimum of first initial, and last name)
- (CC) Surveillance Incident Report
 - 1) date and incident report number
 - 2) time and location of incident
 - 3) names and player account numbers of witnesses and subjects involved in the incident, if known
 - 4) detail narrative of incident
 - 5) identification of video tape covering the incident
 - 6) final disposition of the incident
 - 7) required signatures
- (DD) Surveillance Shift Log
 - 1) date
 - 2) beginning time and ending time, name, location, etc. of important or unusual observations
 - 3) items such as, but not limited to, equipment malfunctions related to other logged events or activities, completed tapes, still photograph requests, etc.
 - 4) required signatures
- (EE) Surveillance Release Log
 - 1) record ID, if applicable
 - 2) location recorded
 - 3) date and time period of recording(s)
 - 4) date and time of release
 - 5) receiving department/agency
 - 6) name of individual authorizing the release

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005, added Card & Dice Pit Storage Log & revised 2.01. Revised Oct. 30, 2007. Revised April 30, 2009 (changed Class A to B, revised sections 1, 2.02, 6 (deleted manual form dispensers), 7.01 and 8.01). Revised January 30, 2011 (7.0). Revised July 30, 2012 (revised 2.01, 2.03, 7.01, and added 2.07). Revised May 30, 2013 (1, 2.03, 302, 7.01). Revised December 30, 2013 (revised Sections 1, 7.01, and added 2.08). Revised December 4, 2013 (7.01)

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- 7) printed name and signature of individual receiving the recording
- 8) signature of individual releasing the recording
- (FF) Surveillance Recording Retention Log
 - 1) date and time of log entry
 - 2) date and time period of recording
 - 3) tape number, if applicable
 - 4) location recorded
 - 5) description of the activity recorded
 - 6) reason for retention
 - 7) name and MGC license number of surveillance agent
- (GG) Table Credit Slip
 - 1) date, pit, game/table number and time
 - 2) amount of each denomination of chips to be credited
 - 3) total amount of all denomination to be credited
 - 4) required signatures
- (HH) Table Fill Slip
 - 1) date, pit, game/table number and time
 - 2) amount of each denomination of chips to be distributed
 - 3) total amount of all denomination to be distributed
 - 4) required signatures
- (II) Table Inventory Slip
 - 1) date and shift
 - 2) game and table number
 - 3) total value of each denomination of chips remaining at the table
 - 4) total value of all denominations
 - 5) signature of dealer closing the table
 - 6) signature of table games supervisor closing the table
 - 7) signature of dealer opening the table
 - 8) signature of table games supervisor opening the table
- (JJ) Table Soft Count Slip/Currency Counter Machine Tape
 - 1) date
 - 2) table game and number
 - 3) box contents by denomination
 - 4) total of all denominations
 - 5) required signatures
- (KK) Token Inventory Ledger
 - 1) date of receipt, count, issuance and destruction
 - 2) total number by denomination and dollar value received, issued or destroyed
 - 3) total of all denomination received, issued, or destroyed
 - 4) required signatures

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- (LL) Replacement Deck Log
- 1) date and time each card is removed
 - 2) reason for replacement
 - 3) color, value, and suit value of the removed card(s)
 - 4) name and MGC number of individual who replaced the card(s)
 - 5) security officer's signature
- (MM) Surveillance Ingress/Egress Log
- 1) date
 - 2) printed name
 - 3) time in and time out
 - 4) reason for entry
 - 5) signature of person entering
 - 6) name of the MGC agent authorizing entry
- (NN) Audit Exception Report
- 1) date of exception report
 - 2) date of incident
 - 3) individual(s) involved in the exception
 - 4) brief explanation of the exception
 - 5) signature of the employee preparing the report
 - 6) department the exception report was issued to
 - 7) supervisor signature from department receiving the exception
 - 8) signature of employee responsible for the exception, if known
 - 9) date the report was returned to Accounting
- (OO) Security Incident Report
- 1) Incident report number
 - 2) date and time
 - 3) location of incident
 - 4) date and time of incident
 - 5) type of incident
 - 6) names and addresses of witnesses and subjects involved in the incident, if known
 - 7) detail narrative of incident
 - 8) identification of video tape covering the incident, if applicable
 - 9) security officer's signature
- (PP) Security Incident Log
- 1) date of daily log
 - 2) time of incident
 - 3) incident report number
 - 4) name of reporting security officer and MGC license number
 - 5) summary of incident

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- (QQ) Visitor/Vendor Log
- 1) date
 - 2) visitor's/vendor's printed name
 - 3) company, if applicable
 - 4) time in and out
 - 5) type of badge and badge number
 - 6) purpose of visit
 - 7) visitor's/vendor's signature
 - 8) security officer's signature
- (RR) Key Access List
- 1) key ring number, if applicable
 - 2) key identifier/stamp on the key (must be unique for each key name)
 - 3) name of the key
 - 4) location of the key
 - 5) custodian of the key
 - 6) quantity of the key(s)
 - 7) job titles authorized to sign out the key and, if applicable, escort requirements and specific limitations
- (SS) Table Games Variance Slip
- 1) gaming date
 - 2) game/table number
 - 3) shift
 - 4) description of discrepancy found
 - 5) required signatures
- (TT) Inventory Log of Pre-Numbered Forms
- 1) name of pre-numbered form
 - 2) date received or issued
 - 3) number sequence of forms received or issued
 - 4) name of department that forms were issued to
 - 5) required signatures and MGC license numbers
- (UU) Gift Log
- 1) name of the gift recipient
 - 2) name and business name of the gift donor
 - 3) description and value of the gift
 - 4) date the gift was received
- (VV) Safekeeping Log
- 1) date of deposit or withdrawal
 - 2) name of patron
 - 3) dollar amount of deposit or withdrawal
 - 4) type of deposit/withdrawal
 - 5) total balance of all deposits

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(WW) Card/Dice Discrepancy Report

- 1) date and time
- 2) location
- 3) description of discrepancy found
- 4) required signatures

(XX) Remote Access Log

- 1) name and MGC number of the licensee's employee authorizing access
- 2) name and MGC number of vendor employee accessing the system
- 3) name of user account that vendor used
- 4) name of vendor
- 5) name of system(s) accessed by the vendor
- 6) description of all work performed
- 7) date and time
- 8) duration of access

(YY) Reserved

(ZZ) Redemption Log

- 1) date
- 2) dollar value of each item received by mail
- 3) check number
- 4) patron's name and address
- 5) signature of employee performing the transaction

(AAA) Currency Cassette Log

- 1) date
- 2) time
- 3) the tamper resistant seal number
- 4) the unique cassette number
- 5) amount of cash in the cassette
- 6) denomination of currency in the cassette
- 7) signature of the main bank cashier who prepared the cassette

(BBB) Table Games Jackpot Slip

- 1) date
- 2) time
- 3) amount of winnings before taxes (alpha and numeric) (Alpha is optional if another unalterable method is used for evidencing the amount of the winnings before taxes.)
- 4) amount wagered and the odds of the bet at the time of the wager
- 5) taxes withheld (federal and state)
- 6) table game number
- 7) type of jackpot
- 8) player's name

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- 9) amount paid to patron (alpha and numeric) (Alpha is optional if another unalterable method is used for evidencing the amount paid to patron.)
 - 10) signature of cashier
 - 11) signature of the Dealer
 - 12) signature of the Table Games Supervisor
 - 13) signature of the Security Officer escorting the funds
- (CCC) Meter Reading Comparison Report
- 1) date of report
 - 2) asset number
 - 3) dates the readings were taken
 - 4) beginning and ending credits played (soft and accounting system meters)
 - 5) beginning and ending credits paid (soft and accounting system meters)
 - 6) beginning and ending amount-to-drop (soft and accounting system meters) if applicable
 - 7) beginning and ending jackpots paid (soft and accounting system meters)
 - 8) difference between the beginning and ending amount for all meters
 - 9) variance between the meters, if any
 - 10) accounting Signature
- (DDD) Duplicate Sensitive Key Access List
- 1) name of key, which shall be identical to the key name on the sensitive key access list
 - 2) key number
 - 3) key identifier/stamp on the key (must be unique for each key name)
 - 4) the job titles authorized to sign out the key and, if applicable, escort requirements
- (EEE) Card Inspection Log (including Poker)
- 1) date and time
 - 2) detailed inspection procedures performed
 - 3) list of tables from which the cards were removed
 - 4) results of the inspection
 - 5) signature(s) of the individual(s) completing the inspection
- (FFF) Wire Transfer Form
- 1) date and time of request
 - 2) the patron's name
 - 3) patron's address
 - 4) patron's date of birth
 - 5) patron's social security number
 - 6) the identification type, number and expiration
 - 7) the anticipated date of patron's arrival
 - 8) amount of transfer (alpha and numeric)
 - 9) name on the patron's bank account

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- 10) patron's financial institution
- 11) patron's bank account number
- 12) routing number
- 13) transaction number
- 14) Cage Supervisor's signature
- 15) Main Bank/Floating Employee Window Cashier's signature
- 16) date and time of confirmation
- 17) signature of the accounting representative confirming the wire transfer
- 18) patron's signature

(GGG) Wire Transfer Return Form

- 1) date and time of request
- 2) patron's name
- 3) patron's date of birth
- 4) the type, number and expiration of identification provided
- 5) amount of wire transfer (alpha and numeric)
- 6) bank fees
- 7) total amount wired out (alpha and numeric)
- 8) name on the patron's bank account
- 9) patron's bank account number
- 10) patron's financial institution
- 11) patron's routing number
- 12) date of wire transfer
- 13) transaction number
- 14) patron's signature
- 15) Main Bank /Floating Employee Window Cashier's signature
- 16) Cage Supervisor's signature
- 17) Staff Accountant's signature

(HHH) Bad Beat/ Special Hand Payout form.

- 1) a description of the cards that comprised the winning poker hand for that pot
- 2) a description of the cards that comprised the winning bad beat hand
- 3) the name of the patron who had the winning poker hand for that pot
- 4) the name of the patron who had the winning bad beat or special hand
- 5) the names of the other payees
- 6) the amount won by each payee
- 7) the time, date, and signature of the employee completing the form

(III) Funds Transfer Slip

- 1) amount of each denomination of currency and chips being transferred
- 2) grand total of all currency and chips being transferred
- 3) source bank
- 4) destination bank

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- 5) date
- 6) time
- 7) signature of issuing individual
- 8) signature of receiving individual
- 9) signature of security officer, if escorted

(JJJ) Cards and Dice Collection Log

- 1) date and time of collection
- 2) pit number
- 3) quantity of each style/color of decks and dice collected from each pit/poker room
- 4) signature of security officer collecting the decks or dice
- 5) signature of table games/poker supervisor relinquishing the decks or dice

(KKK) Tip Container Log

- 1) Poker Dealer name and MGC number
- 2) tip container number
- 3) date and time issued
- 4) Poker Dealer signature receiving tip container
- 5) Poker Supervisor signature issuing tip container
- 6) date and time returned
- 7) reason returned (i.e., break, end of shift, emergency)
- 8) Poker Dealer signature returning tip container
- 9) Poker Supervisor signature receiving tip container

(LLL) Unclaimed Property Log

- 1) opening balance of the unclaimed property
- 2) dollar amount of the transactions that have occurred during the shift
- 3) total dollar amount of the transactions
- 4) ending balance

(MMM) Floating Employee Window Accountability Form

- 1) date and shift
- 2) opening balance
- 3) amount of each type of accountability transactions
- 4) detail of the total floating employee window inventory (currency, coin, chips, safekeeping deposits, unclaimed property account, etc.)
- 5) total floating employee window inventory
- 6) overages and shortages
- 7) closing balance
- 8) outgoing cashier's signature
- 9) incoming cashier's or verifier's signature

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**Title 11--DEPARTMENT OF PUBLIC SAFETY
Division 45--Missouri Gaming Commission
Chapter 10—Licensee’s Responsibilities**

PROPOSED AMENDMENT

11 CSR 45-10.020 Licensee’s and Applicant’s Duty to Disclose Changes in Information. The commission is amending section (1).

PURPOSE: This amendment updates the terminology for “key business entity.”

(1) All licensees and applicants for Class A, Class B, supplier, key person/key *[person]* business entity, or Level I occupational licenses issued by the commission shall have a continuing duty to disclose in writing, within ten (10) calendar days for an applicant and thirty (30) calendar days for a licensee, any material change in the information provided in the application forms and requested materials submitted to the commission. Any change in information that is not material must be disclosed to the commission during the licensee’s next subsequent application for license renewal.

*AUTHORITY: sections 313.004, RSMo 2000 and sections 313.800, 313.805, and 313.807, RSMo Supp. [2007] 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Wednesday, February 19, 2014, at 10:00 a.m., in the Missouri Gaming Commission’s Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

**Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 13—Hearings**

PROPOSED AMENDMENT

11 CSR 45-13.030 Requests for Hearings. The commission is adding new subsections (2)(E) and (F).

PURPOSE: This amendment changes the procedure for requesting a hearing.

(2) A request for hearing must be submitted within thirty (30) days from the date of mailing by the commission of the decision or issue about which the petitioner requests a hearing.

(E) Other than disciplinary actions recommending the revocation of an occupational license, no Preliminary Order of Discipline shall be issued for an occupational licensee whose license has been rescinded, terminated, or has expired prior to the entry of said order.

(F) Other than disciplinary actions recommending the revocation of an occupational license, if the petitioner's occupational license has been rescinded, terminated, or has expired prior to the entry by the commission of a Final Order of Discipline, then the Preliminary Order of Discipline shall be rescinded, and the petitioner's request for hearing shall be denied and stricken.

*AUTHORITY: sections 313.004, 313.052, 313.065, and 313.560, RSMo 2000, and sections 313.800 and 313.805, Supp. 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. For intervening history, please consult the **Code of State Regulations**. Amended: Filed Dec. 5, 2013.*

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