TITLE 68 INDIANA GAMING COMMISSION

Proposed Rule
LSA Document #10-498

DIGEST

Amends 68 IAC 1-1-31.5 concerning definitions. Adds 68 IAC 1-1-94.5 concerning definitions. Amends 68 IAC 11-3-1 concerning definitions. Amends 68 IAC 11-3-6 to add the counting of ticket-in ticket-out (TITO) to the soft count process. Adds 68 IAC 14-5.5 concerning general provisions applicable to TITO sections, the submission and approval process for TITOs, TITO specifications, void and expired TITOs, the authorized use of TITOs, the procedure for TITO destruction, and deviation from provisions. Amends 68 IAC 15-1-1 concerning definitions. Amends 68 IAC 15-1-4.1 to add TITOs to the found cash equivalent procedure. Amends 68 IAC 15-5-4 to add the counting of TITOs to the soft count process. Amends 68 IAC 15-7-3 to include TITOs in the daily audit process and to add the requirement of documenting, investigating, and reporting variances. Amends 68 IAC 15-9-1 concerning definitions. Amends 68 IAC 15-9-4 to include TITOs in the policies and procedures for tips and gratuities and to allow redemption of tips and gratuities at any cage location. Amends 68 IAC 15-13-1 concerning definitions. Amends 68 IAC 15-13-2.5 concerning pouch pay jackpots. Makes numerous technical changes. Effective 30 days after filing with the Publisher.

IC 4-22-2.1-5 Statement Concerning Rules Affecting Small Businesses

68 IAC 1-1-31.5; 68 IAC 1-1-94.5; 68 IAC 11-3-1; 68 IAC 11-3-6; 68 IAC 14-5.5; 68 IAC 15-1-1; 68 IAC 15-1-4.1; 68 IAC 15-5-4; 68 IAC 15-7-3; 68 IAC 15-9-1; 68 IAC 15-9-4; 68 IAC 15-13-1; 68 IAC 15-13-2.5

SECTION 1. 68 IAC 1-1-31.5 IS AMENDED TO READ AS FOLLOWS:

68 IAC 1-1-31.5 "Enforcement agent" defined

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 31.5. "Enforcement agent" means ~~either of the following:~~
~~(1)~~ an individual employed by the commission who is a member of the enforcement section of the commission's division of gaming agents.
~~(2) A member of the Indiana state police department who is assigned to a riverboat licensee as a member of the Indiana state police gaming division.~~

(Indiana Gaming Commission; 68 IAC 1-1-31.5; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA)

SECTION 2. 68 IAC 1-1-94.5 IS ADDED TO READ AS FOLLOWS:

68 IAC 1-1-94.5 "Ticket-in ticket-out" or "TITO" defined

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 94.5. "Ticket-in ticket-out" or "TITO" means a slip of paper generated by machine that is redeemable for cash or may be inserted into other machines for redemption or to generate credits for play.

(Indiana Gaming Commission; 68 IAC 1-1-94.5)

SECTION 3. 68 IAC 11-3-1 IS AMENDED TO READ AS FOLLOWS:

68 IAC 11-3-1 General provisions

Authority: IC 4-33-4; IC 4-35-4

Sec. 1. (a) The following definitions apply throughout this rule:
(1) "Bill validator report" means a report completed by the soft count team that documents the value of the currency collected from the bill validator drop boxes. The report shall:
(A) be completed on a form prescribed or approved by the commission; and ~~shall~~
(B) include the currency count by denomination and the total amount of currency removed from the bill validator drop boxes.
(2) "Bill validator verification report" means a report generated after the completion of the soft count that documents the amount and denomination of the currency that was deposited into a bill validator of an electronic gaming device. The report shall be completed on a form prescribed or approved by the commission and shall include, at a minimum, the following information:
(A) The electronic gaming device from which the bill validator drop box was removed.
(B) The total dollar value of all the currency contained in the bill validator drop box.
(C) The number and denomination of each bill contained in the bill validator drop box.
(3) "Currency collection team" means a team of the ~~riverboat~~ **casino** licensee's employees that consists of at least three (3) occupational licensees, at least one (1) of whom is a security officer.
(A) For electronic gaming devices, the currency collection team shall be responsible for collecting ~~the~~ **and replacing** drop boxes at least one (1) time per day. ~~and placing empty drop boxes on the live gaming devices and in each bill validator.~~
(B) For table games, the currency collection team shall collect and replace drop boxes in accordance with the casino licensee's approved internal controls.
(4) "Drop box" means the live gaming device drop boxes or bill validator drop boxes.
(5) "Drop box storage cart" means the cart, equipped with a secured compartment, utilized to transport drop boxes during the currency collection process.
(6) "Drop box verification report" means a report generated before the commencement of the soft count that documents the activity that took place at each live gaming device for the gaming day. The report shall be completed on a form prescribed or approved by the commission and shall include, at a minimum, the following information:
(A) The opening dollar amount of each live gaming device inventory.
(B) The identifying number and dollar amount of each live gaming device fill slip.
(C) The total dollar amount of table fill slips.
(D) The identifying number and dollar amount of each live gaming device credit slip.
(E) The total dollar amount of live gaming device credit slips.
(F) The closing dollar amount of each live gaming device inventory.
(G) The identifying number and dollar amount of each counter check.
(H) The total dollar amount of counter checks.
(I) The identifying number and dollar amount of each front money withdrawal.
(J) The total dollar amount of front money withdrawals.
(7) "Master gaming report" means a report completed by the soft count team that documents the value of the currency collected from the drop boxes of the live gaming devices. The report shall be completed on a form prescribed or approved by the commission and shall include, at a minimum, the following information:
(A) The total amount of the opening live gaming device inventories.
(B) The total amount of the table fill slips.
(C) The total amount of the table credit slips.
(D) The total amount of closing table game inventories.
(E) The total amount of counter checks.
(F) The total amount of front money withdrawals.
(G) The total amount of currency, tokens, and chips removed from live gaming device drop boxes.
(H) The total win or loss.
(8) "Recorder" means the member of the soft count team responsible for ensuring that the paperwork reconciles. The recorder shall not be responsible for completing the table count slips.
(9) "Soft count team" means a team of the ~~riverboat~~ **casino** licensee's employees that consists of at least:
(A) one (1) employee of the soft count department; **and**
(B) one (1) soft count supervisor. ~~and~~
~~(C) one (1) employee of the accounting department.~~
The soft count team shall be responsible for counting and bundling the currency collected from the live gaming devices and bill validators. **An employee from the accounting department may assist the soft count team if the soft count team has a discrepancy in its counts.**

(b) Members of the currency collection team and soft count team shall wear clothing that is not conducive to the concealment of currency. Members of the currency collection team and soft count team shall not wear hats.

(c) The currency collection team and the soft count team shall be rotated on a routine basis to ensure the integrity of the currency collection process and the soft count. Members of the currency collection team can be members of the soft count team.

(d) On the last day of each month, the ~~riverboat~~ **casino** licensee shall drop each bill validator and complete a reconciliation of that month's soft drop.

(Indiana Gaming Commission; 68 IAC 11-3-1; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3322; filed Jan 30, 1998, 11:00 a.m.: 21 IR 2060; filed May 29, 1998, 5:10 p.m.: 21 IR 3697; filed Jun 19, 2000, 10:34 a.m.: 23 IR 2699; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Sep 30, 2004, 11:05 a.m.: 28 IR 528; readopted filed Sep 21, 2010, 3:55 p.m.: 20101020-IR-068100360RFA)

SECTION 4. 68 IAC 11-3-6 IS AMENDED TO READ AS FOLLOWS:

68 IAC 11-3-6 Soft count process

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 6. (a) The soft count process shall not be commenced nor continued unless at least three (3) members of the soft count team are present in the soft count room.

(b) The soft count process shall proceed in the following manner:
(1) The soft count team shall notify surveillance prior to the initiation of the soft count. Surveillance shall visually record the entire soft count process.
(2) A security officer shall give the soft count team access to the soft count room. The soft count room door shall be locked after the soft count team has entered the soft count room.
(3) After the soft count team has entered the soft count room and the door has been locked, no one except:
(A) authorized commission personnel;
(B) individuals specifically authorized by the commission;
(C) main bank employees; and
(D) drop box collection team members who are dropping off drop boxes;
are allowed access to the soft count room.
(4) Prior to the initiation of the count, the currency counter shall be tested for accuracy by using a precounted amount of currency from the first live gaming device drop box or bill validator drop box that is to be counted. Any discrepancy of two percent (2%) or more must be resolved to the satisfaction of the soft count supervisor, or his or her designee, prior to the use of the currency counter. The results of the test shall be documented and retained for a period of one (1) year. The currency counter test results shall be signed and dated by the individual who conducted the test.
(5) Prior to the commencement of the soft count, the recorder shall generate a drop box verification report.

(c) The soft count team shall handle only one (1) drop box at a time in the following manner:
(1) An individual drop box shall be selected and the identification label displayed to the surveillance camera. ~~The appropriate member of the soft count team shall verbalize the live gaming device game type and identification number or the bill validator drop box identification number.~~
(2) The drop box shall be opened by the appropriate soft count team member, and the entire contents of the drop box shall be emptied onto the soft count table.
(3) The inside of the empty drop box shall be held up for full view by the surveillance camera, and at least one (1) member of the soft count team shall verify that the drop box is empty.
(4) The slide on the drop box shall be reset, and the door to the drop box shall be relocked.
(5) If the drop box is from a live gaming device, documents shall be separated from the currency, coins, chips, and tokens.
(6) The ~~appropriate member of the~~ soft count team shall separate the currency, cash, chips, and tokens into individual denominations **and count the currency, cash, chips, tokens, and TITOs.** The ~~currency shall then be counted~~ **soft count team may, at its discretion, separate and count** manually or by the use of a

currency counter. Currency counters utilized by the ~~riverboat~~ **casino** licensee must be capable of displaying the result of the count. ~~Coins, chips, and tokens shall be counted manually or through the use of an appropriate counter.~~

(7) Once the currency, tokens, ~~and~~ chips, **and TITOs** have been counted, one (1) member of the soft count team shall:

(A) complete the count slip on a form prescribed or approved by the commission; and ~~shall~~

(B) sign and date the report.

(8) A second member of the soft count team who has not seen the first count slip shall conduct an independent count of the currency, tokens, ~~and~~ chips, **and TITOs** either manually or through the use of the appropriate counter. The second soft count team member shall:

(A) complete a second count slip; and ~~shall~~

(B) sign and date the report.

(9) The recorder shall compare the two (2) count slips. If there is a discrepancy between the count slips, the difference shall be isolated to particular denomination of currency, coins, tokens, ~~or~~ chips, **or TITOs** and that denomination shall be recounted by the first two (2) soft count team members.

(10) The recorder shall sign the count slip that is correct. If corrections need to be made to a count slip to ensure one (1) of the slips accurately reflects the count, the incorrect figures shall be struck through and initialed by the two (2) soft team count members that conducted the original count. The correct information should then be entered on the count slip.

(11) The recorder shall compare the documents removed from each drop box to those appearing on the drop box verification report. Appropriate adjustments may be made to the drop box verification report. Any discrepancies between the documents removed from the live gaming devices drop boxes and the drop box verification report shall be noted for the internal auditor or the equivalent.

(12) Once all drop boxes have been counted, the soft count team shall complete the master gaming report or the bill validator report.

(13) Upon completion of the master gaming report, the two (2) soft count team members not performing the job of recorder shall run totals of the table count slips and compare that information to the totals recorded on the master gaming report. Variances of two percent (2%) or more shall be investigated by members of the soft count team. The reason for the variance, if known, shall be entered on the master gaming report. If the reason is not known, this shall be noted. The ~~riverboat~~ **casino** licensee may require investigations for variances of less than the threshold amount.

(14) Variances of two percent (2%) or more ~~and which~~ **that** are not reconciled through subdivision (13) shall be investigated by the accounting director or designee. The results of the investigation shall be recorded on the master gaming report. The accounting director or designee shall sign and date the master gaming report. The ~~riverboat~~ **casino** licensee may require investigations for variances of less than the threshold amount.

(15) After the results of the count process have been reconciled, all members of the soft count team shall sign and date the appropriate section of the master gaming report or the bill validator report.

(16) After reconciliation has been completed by the soft count team, the main bank cashier shall be contacted. The main bank cashier shall complete an independent physical inventory of all of the currency, coins, chips, and tokens in the presence of at least one (1) soft count team member. The main bank cashier shall not have access to the master gaming report or the bill validator report until after the completion of the independent physical inventory.

(17) Any discrepancies between the independent physical inventory and the totals entered on the master gaming report or the bill validator report shall be investigated by independent recounts conducted by the soft count team and the main bank cashier. If the master gaming report or the bill validator report was erroneous, it shall be voided and a new master gaming report or the bill validator report generated with the appropriate signatures. Any voided copy of the master gaming report or the bill validator report shall be retained and attached to the completed and signed copy of the new master gaming report or bill validator report.

(18) After reconciliation of the master gaming report, the bill validator report, and the physical inventory conducted by the main bank cashier, the main bank cashier shall verify the accuracy of and sign and date the master gaming report and the bill validator report in the appropriate section. When the main bank cashier signs the master gaming report and the bill validator report, the main bank assumes responsibility for the currency, coins, chips, and tokens.

(19) The appropriate amount of currency to keep the main bank at its imprest amount in accordance with 68 IAC 15-10-1(c) shall be transported to the main bank. The chips and tokens shall be transported to the main bank. The transfer shall be:

(A) made by occupational licensees designated in section 2 of this rule; and ~~shall be~~

(B) observed by at least one (1) security officer.

The amount transferred shall be added to the main bank's accountability sheet. One (1) copy of the master gaming report and the bill validator report shall be forwarded to the main bank.

(20) The remaining amount of currency and coin may be deposited with the ~~riverboat~~ **casino** licensee's

external bank.

(21) The original table count slips, drop verification report, bill validator verification report, master gaming report, and bill validator report, with the appropriate tapes attached, shall be forwarded to the accounting department upon completion of the soft count process and after the currency, coin, chips, ~~and~~ tokens, **and TITOs** have been appropriately transferred or deposited.

(22) The currency counter in the soft count room shall be monitored by the central computer system for purposes of recording the amounts collected from each live gaming device and bill validator drop box. All the information sent to the central computer system shall be printed out in the accounting department as a backup. The backup printouts shall be maintained by the accounting department for at least one (1) month. Electronic archival data shall be maintained for a period of one (1) year.

(23) In accordance with 68 IAC 15-7-3, the revenue auditor or the equivalent shall trace the total of the bill-in meter readings as recorded by the bill acceptor flash report to the actual count performed by the soft count team to determine variances. The ~~riverboat~~ **casino** licensee shall require the investigation of all variances. The results of the investigation shall be recorded and reported to the head of the accounting department and the commission audit staff.

(24) Every three (3) months, the internal auditor, or equivalent, shall verify the accuracy of the currency counter. The internal auditor, or equivalent, shall notify the commission immediately of any difference of plus or minus two percent (2%). The results of the currency counter testing shall be:

(A) documented and retained for a period of one (1) year; ~~The currency counter test results shall be~~ **and**

(B) signed and dated by the internal auditor.

(25) If foreign tokens are discovered during the count process, the foreign tokens shall be:

(A) separated and listed in the appropriate section of the master gaming report; ~~Foreign tokens shall be~~ **and**

(B) reported in accordance with 68 IAC 15-3.

(26) Any difficulties in the soft count process shall be documented by the soft count supervisor or his or her designee as an appendix to the master gaming report and the bill validator report. The appendix shall be on a form prescribed or approved by the commission. Difficulties that should be recorded include, but are not limited to, the following:

(A) Mechanical or technical difficulties with any of the equipment.

(B) Any personnel problems that could affect the currency collection process or the soft count.

(C) Any unusual situations, such as large number of drop boxes devoid of currency, coins, chips, ~~or~~ tokens, **or TITOs.**

(D) Reconciliation differences between the value that resulted from any of the independent counts.

(d) A ~~riverboat~~ **casino** licensee shall not transfer currency, coins, chips, ~~or~~ tokens, **or TITOs** from the soft count room during the soft count process ~~nor~~ **or** before the appropriate amounts are added to the main bank's accountability and the appropriate deposit slips are prepared.

(Indiana Gaming Commission; 68 IAC 11-3-6; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3324; filed May 29, 1998, 5:10 p.m.: 21 IR 3698; filed Jun 19, 2000, 10:34 a.m.: 23 IR 2700; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: 20081210-IR-068080730RFA)

SECTION 5. 68 IAC 14-5.5 IS ADDED TO READ AS FOLLOWS:

Rule 5.5. Ticket-In Ticket-Out Specifications

68 IAC 14-5.5-1 General provisions

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 1. (a) This rule applies to all casino licensees.

(b) A casino licensee shall not allow a TITO to be utilized for play in an electronic gaming device unless the TITO complies with this rule.

(Indiana Gaming Commission; 68 IAC 14-5.5-1)

68 IAC 14-5.5-2 Submission and approval

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 2. (a) Casino licensees shall not utilize, or allow to be utilized, any TITO that the executive director has not approved.

(b) The approval process shall be as follows:
(1) A casino licensee shall submit a detailed schematic of its proposed TITO at least ninety (90) days before the commencement of gambling operations or the utilization of a proposed TITO. The schematic shall be a true rendering of the actual TITO and display the information listed in section 3 of this rule.
(2) After the casino licensee has received approval of a detailed schematic of a proposed TITO, the casino licensee shall submit a sample of the TITO to the executive director for approval. The sample TITO shall be submitted no less than sixty (60) days prior to the commencement of gambling operations or the utilization of the proposed token. The executive director shall, in writing, approve or disapprove the proposed TITO within twenty (20) days of receipt of its submission.

(Indiana Gaming Commission; 68 IAC 14-5.5-2)

68 IAC 14-5.5-3 Specifications

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 3. Each TITO shall include, at a minimum, the following printed information:
(1) The casino name and site identifier.
(2) The machine number.
(3) The date and time (twenty-four (24) hour format acceptable).
(4) The alpha and numeric dollar amount of the ticket.
(5) The ticket sequence number.
(6) The validation number.
(7) The type of transaction or other method of differentiating ticket types.
(8) The bar code or any machine-readable code representing the validation number.
(9) The toll free telephone number that provides the public with information about compulsive gambling addictions.
(10) Language stating that no person under twenty-one (21) years of age is allowed in a gaming area.

(Indiana Gaming Commission; 68 IAC 14-5.5-3)

68 IAC 14-5.5-4 Void and expired TITOs

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 4. (a) A TITO may, on its reverse, contain wording indicating that a TITO that cannot be validated is considered void.

(b) A casino licensee may choose to include an expiration date on a TITO. After the expiration date, the casino licensee may consider the TITO void.

(Indiana Gaming Commission; 68 IAC 14-5.5-4)

68 IAC 14-5.5-5 Authorized use

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 5. Approved TITOs shall be:
(1) capable of insertion into an electronic gaming device in the casino to activate play;
(2) available as a payout from an electronic gaming device;
(3) redeemable by the patron in accordance with IC 4-33, IC 4-35, and this rule; and
(4) capable of being used as tips and gratuities for gaming and nongaming employees.

(Indiana Gaming Commission; 68 IAC 14-5.5-5)

68 IAC 14-5.5-6 Destruction

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 6. (a) The casino licensee shall do the following:
(1) Send a request to the commission's executive director, or his or her designee, seeking approval to destroy TITOs.
(2) Notify the executive director, in writing, at least ten (10) days before TITOs are destroyed.

(b) The request to destroy TITOs shall include, at a minimum, the following:
(1) The date of the proposed destruction.
(2) The place of the proposed destruction.
(3) The date of redemption of the tickets, or range of dates if there is no single date of redemption.
(4) The estimated quantity of tickets to be destroyed.
(5) That all normal document destruction procedures and security will be followed.
(6) The name of the company who will perform the destruction, or that the tickets will be destroyed by casino employees.
(7) That:
(A) surveillance coverage or security coverage, or both, will be provided if the destruction is to take place on-site; or
(B) appropriate security or surveillance coverage, or both, will be utilized during the collection and transfer of the tickets to the vendor responsible for destruction if an outside vendor is used.

(Indiana Gaming Commission; 68 IAC 14-5.5-6)

68 IAC 14-5.5-7 Deviation from provisions

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 7. (a) The executive director or the commission may approve deviations from the provisions of this rule if the executive director or the commission determines that the:
(1) procedure or requirement is impractical or burdensome; and
(2) alternative means of satisfying the procedure or requirement:
(A) fulfill the purpose of the rule;
(B) are in the best interest of the public and the gaming industry in Indiana; and
(C) do not violate IC 4-33 or IC 4-35.

(b) If a licensee wishes to request a deviation from the provisions of this rule, the licensee must do so in writing.

(Indiana Gaming Commission; 68 IAC 14-5.5-7)

SECTION 6. 68 IAC 15-1-1 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-1-1 Applicability; general provisions

Authority: IC 4-33-4; IC 4-35-4

Affected: IC 4-33; IC 4-35

Sec. 1. (a) This rule applies to all ~~riverboat~~ **casino** licensees and ~~riverboat~~ **casino** license applicants.

(b) The following definitions apply throughout this article:
(1) "Internal auditor" means an individual employed by the ~~riverboat~~ **casino** licensee or an affiliate to perform audits of gaming and nongaming operations to ensure the following:
(A) Proper accounting department controls.
(B) Adherence to ~~the Act~~ **IC 4-33 or IC 4-35,** and this title.
(2) "Security department" means the individuals employed by the ~~riverboat~~ **casino** licensee to provide security services for the ~~riverboat~~ **casino** gambling operation.

(c) Unless otherwise specified, all ~~riverboat~~ **casino** licensees and ~~riverboat~~ **casino** license applicants shall maintain all accounting records for a period of five (5) years within the state of Indiana.

(Indiana Gaming Commission; 68 IAC 15-1-1; filed Jul 3, 1996, 5:00 p.m.: 19 IR 3042; filed Jun 1, 1998, 2:30 p.m.: 21 IR 3707; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA)

SECTION 7. 68 IAC 15-1-4.1 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-1-4.1 Found cash equivalents

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 4.1. Unless otherwise provided in this title, if an occupational licensee finds chips, tokens, **TITOs,** cash, or cash equivalent ~~on~~ **in** the ~~riverboat,~~ **casino,** the occupational licensee must turn the chips, tokens, **TITOs,** cash, or cash equivalent into the appropriate area of the main bank of the ~~riverboat~~ **casino** licensee. The ~~riverboat~~ **casino** licensee shall maintain the chips, tokens, **TITOs,** cash, or cash equivalent for a period of at least twenty (20) days to determine if a patron will claim the chips, tokens, **TITOs,** cash, or cash equivalent. If the chips, tokens, **TITOs,** cash, or cash equivalents are not claimed by a patron, the ~~riverboat~~ **casino** licensee shall institute one (1) of the following policies with respect to unclaimed chips, tokens, **TITOs,** cash, or cash equivalents turned in by occupational licensees:
(1) If the chips, tokens, **TITOs,** cash, or cash equivalents are not claimed by a patron, the chips, tokens, **TITOs,** cash, or cash equivalent must be included in the drop on the gaming day the waiting period expires.
(2) The ~~riverboat~~ **casino** licensee shall handle the chips, tokens, **TITOs,** cash, or cash equivalent not claimed by a patron in accordance with a policy submitted by the ~~riverboat~~ **casino** licensee to the ~~regional~~ **commission** audit ~~administrator for the commission~~ **director** and that has been approved by the executive director.
The ~~riverboat~~ **casino** licensee must disseminate this rule to all occupational licensees employed by the ~~riverboat~~ **casino** licensee or occupational licensees employed by another company but assigned to perform their duties at the ~~riverboat~~ **casino** licensee's ~~riverboat~~ **casino** gambling operation.

(Indiana Gaming Commission; 68 IAC 15-1-4.1; filed Jan 6, 1999, 4:25 p.m.: 22 IR 1423; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: 20081210-IR-068080730RFA)

SECTION 8. 68 IAC 15-5-4 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-5-4 Receipts from electronic gaming devices

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 4. (a) The ~~riverboat~~ **casino** licensee shall compute the total receipts from electronic gaming devices in the following manner:

(1) Add the following applicable figures for electronic gaming device drop buckets:
(A) For electronic gaming devices that were not part of the drop bucket collection process under 68 IAC 11-2 for that gaming day, add the dollar value of the drop per the central computer system.
(B) For electronic gaming devices that were part of the drop bucket collection process under 68 IAC 11-2 for that gaming day, add the dollar value of the contents of the drop buckets, including foreign tokens, per the hard count.
(2) Add the following applicable figures for electronic gaming device bill validator drop boxes:
(A) For electronic gaming device bill validator drop boxes that were not part of the currency collection process under 68 IAC 11-3 for that gaming day, add the dollar value of the drop per the central computer system.
(B) For electronic gaming device bill validator drop boxes that were part of the currency collection process under 68 IAC 11-3 for that gaming day, add the dollar value of the contents of the bill validator drop boxes, **including TITOs,** per the soft count.
(3) Deduct the dollar values of the following figures:
(A) The amount previously reported per the central computer system on a previous gaming day that is included in the drop bucket collection process or the bill validator collection process for the current gaming day.
(B) Manually paid jackpots.
(C) Hopper fills. The ~~riverboat~~ **casino** licensee shall not take a deduction for hopper fills that are made before the:
(i) commencement of gaming operations; or
(ii) utilization of any electronic gaming device.

The total of subdivisions (1) ~~through~~ **and** (2) shall be added to the daily token float adjustment to arrive at the total **number of** receipts from electronic gaming devices.

(b) The ~~riverboat~~ **casino** licensee shall compute the daily token float in the following manner:
(1) Begin with the dollar value of tokens on hand per the token inventory ledger.
(2) Subtract the dollar value of the ending token inventory held by the ~~riverboat~~ **casino** licensee. The ending token inventory shall include the dollar values of the following:
(A) Tokens in the hard count room.
(B) Tokens in the vault.
(C) Tokens in the cage drawers.
(D) Tokens in the change lockers.
(E) Tokens in the hoppers. If this deduction is not based on an actual number of tokens in the hoppers, the figure utilized must be approved by the executive director or the executive director's designee.
(3) The daily token float must be calculated and recorded separately for each denomination of tokens.

(c) The daily token float adjustment shall be arrived at by subtracting the previous gaming day's token float from the current gaming day's token float.

(d) If any denomination of token float becomes negative, the ~~riverboat~~ **casino** licensee must take the following steps:
(1) Immediately investigate the reason for the negative token float.
(2) Immediately notify the enforcement agent.
(3) Notify the commission, in writing, on the next business day.

(Indiana Gaming Commission; 68 IAC 15-5-4; filed Jul 18, 1996, 8:55 a.m: 19 IR 3306; filed May 29, 1998, 5:15 p.m.: 21 IR 3703; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA)

SECTION 9. 68 IAC 15-7-3 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-7-3 Electronic gaming devices

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 3. (a) The ~~riverboat~~ **casino** licensee shall require, on a daily basis, ~~that~~ the revenue auditor or its

equivalent to perform certain procedures on the calculation of the electronic gaming device win. These procedures shall include, at a minimum, the following: ~~procedures:~~

(1) Trace the total of the "bills-in" meter readings as recorded by the bill acceptor flash report or equivalent to the actual count performed by the soft count team to verify agreement.

(2) Compare the total of tokens dropped as reported by the central computer system with the actual wrap count as reported by the slot drop count team. **The head of the accounting department, or equivalent, shall document, investigate, and report** any ~~significant~~ variance of greater than two percent (2%). ~~will be documented and investigated by the head of the accounting department or the equivalent.~~

(3) Generate the following reports and reconcile them with all validated/redeemed TITOs:

(A) Ticket issuance report.

(B) Ticket redemption report.

(C) Ticket liability report.

(D) Ticket drop report.

(E) Transaction detail report.

(F) Cashier report.

~~(3)~~ **(4)** Review all voided electronic gaming device jackpot and fill slips for accuracy and proper handling. Verify proper number of authorized signatures.

~~(4)~~ **(5)** Trace the electronic gaming device count documentation into the cage checkout sheet and subsequent posting to the general ledger.

~~(5)~~ **(6)** Verify that all manual electronic gaming device jackpot and fill slips are entered into the central computer system.

(b) The ~~riverboat~~ **casino** licensee shall require that all variances or discrepancies from subsection (a) shall be investigated, recorded, and reported to the head of the accounting department or its equivalent and the commission staff.

(c) Any variances or discrepancies that affect the calculation of the electronic gaming device win shall be adjusted for in the financial statements and reported on Form RG-1 for the appropriate gaming day.

(d) The ~~riverboat~~ **casino** licensee shall require the revenue auditor or its equivalent to perform certain procedures, on a sample basis, on the electronic gaming devices on a daily basis. These procedures should be performed for both computerized and manual forms and shall include, at a minimum, the following:

(1) Compare the original electronic gaming device fills and jackpot slips to the duplicate fills and jackpot slips to verify accuracy.

(2) Review the electronic gaming device fills and jackpot slips for the proper number of authorized signatures.

(3) Verify and account for the numerical sequence of the electronic gaming device fills and jackpot slips.

(4) Recalculate the electronic gaming device documentation for accuracy and recording.

(5) Randomly select certain days to verify the accuracy of the total of fills and jackpots and re-foot and trace to the jackpot and fill report.

(e) The ~~riverboat~~ **casino** licensee shall require that all variances or discrepancies of greater than two percent (2%) from subsection (a) or (d) shall be investigated, recorded, and reported to the head of the accounting department or equivalent.

(f) Any variances or discrepancies that affect the calculation of the electronic gaming device win shall be adjusted for in the financial statements and reported on Form RG-1 for the appropriate gaming day.

~~(g) The riverboat licensee's audit department or accounting department shall read the following electro-mechanical meters of each electronic gaming device at least one (1) time per month:~~

~~(1) Tokens-in meter.~~

~~(2) Tokens-out meter.~~

~~(3) Tokens drop meter.~~

~~(4) Bill drop meter.~~

~~(h) A log shall be maintained by the audit department or accounting department to record the meter readings. A copy of this report shall be submitted to the commission office in Indianapolis, Indiana after the monthly readings have been completed.~~

~~(i) The meter readings shall be compared to the readings produced by the central computer system. Any variance of greater than two percent (2%) will be investigated by the head of the accounting department or equivalent and reported.~~

(Indiana Gaming Commission; 68 IAC 15-7-3; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3332; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1071; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: 20081210-IR-068080730RFA)

SECTION 10. 68 IAC 15-9-1 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-9-1 Applicability; general provisions

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 1. (a) This rule applies to ~~riverboat~~ **casino** licensees.

(b) The following definitions apply throughout this rule:
(1) "Gaming occupational licensee" means an occupational licensee that is:
(A) actively involved in dealing a game; or
(B) assisting with the direct operation of a gambling game.
(2) "Nongaming employee" means an occupational licensee or other casino employee who is not:
(A) actively involved in dealing a game; or
(B) assisting with the direct operation of a gambling game.
~~(2)~~ **(3)** "Tip count team" means a team comprised of at least two (2) individuals. **The individuals making up the tip count team may be:**
(A) one (1) ~~of whom shall be a~~ dealer and ~~another a~~ **one (1)** casino cage cashier; **or**
(B) two (2) casino cage cashiers.

(c) Gaming occupational licensees may accept chips and tokens as a tip or gratuity only in accordance with this rule.

(d) The ~~riverboat~~ **casino** licensee or ~~riverboat~~ **casino** license applicant shall establish policies for the acceptance of tips and gratuities for gaming **occupational licensees** and nongaming employees. These policies shall include, at a minimum, the following requirements:
(1) No gaming occupational licensee shall accept currency as a tip or gratuity.
(2) No ~~riverboat gaming~~ **casino gambling** operation key person or occupational licensee who serves in a supervisory position shall solicit or accept tips or gratuities from a patron.
(3) No ~~riverboat~~ **casino** employee shall solicit any tip or gratuity.
(4) No portion of a winning tip bet is allowed to remain in action. All tip bets won shall be shown to the surveillance camera and then immediately placed in the tip box by the dealer.
(5) Any other policies deemed necessary by the executive director of the commission to ensure compliance with ~~the Act~~ **IC 4-33, IC 4-35,** and this title.

(e) A patron may pay for food and beverages with chips or tokens purchased or won by the patron. Chips and tokens received as payment for food and beverages shall be redeemed in accordance with section 4 of this rule.

(Indiana Gaming Commission; 68 IAC 15-9-1; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3335; filed Mar 21, 1997, 10:00 a.m.: 20 IR 2098; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA)

SECTION 11. 68 IAC 15-9-4 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-9-4 Chips and tokens redeemed by nongaming employees

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 4. (a) The ~~riverboat~~ **casino** licensee shall establish and submit policies and procedures for the redemption of chips, ~~and~~ tokens, **and TITOs** received by nongaming ~~occupational licensees~~ **employees** as tips and gratuities or as payment for food and beverages. The ~~riverboat~~ **casino** licensee shall allow the redemption of chips, ~~and~~ tokens, **and TITOs** by ~~occupational licensees~~ **nongaming employees** at ~~only one (1)~~ **any** cage location ~~on~~ **in** the ~~riverboat and one (1)~~ **casino or any** cage location in the pavilion.

(b) A nongaming ~~occupational license~~ **employee** redemption log will be maintained **at each cage location** to document the redemption of all chips, ~~and~~ tokens, **and TITOs** by nongaming employees. This log shall include, at a minimum, the following **entries:**

(1) **The** nongaming ~~occupational licensee~~ **employee** name.
(2) ~~Nongaming~~ **The** occupational licensee number **for a nongaming employee who is an occupational licensee.**
(3) **The** title of the ~~occupational licensee.~~ **nongaming employee.**
(4) **The** date and time.
(5) **The** dollar amount of chips redeemed.
(6) The dollar amount of tokens redeemed.
(7) The dollar amount of TITOs redeemed.
~~(7)~~ **(8) The** total dollar amount of chips, ~~and~~ tokens, **and TITOs** redeemed.
~~(8)~~ **(9)** Any other information deemed necessary by the executive director or the commission to ensure compliance with ~~the Act~~ **IC 4-33, IC 4-35,** and this title.

(Indiana Gaming Commission; 68 IAC 15-9-4; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3336; filed Mar 21, 1997, 10:00 a.m.: 20 IR 2098; filed Jul 10, 2000, 4:48 p.m.: 23 IR 3070; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Sep 30, 2004, 11:05 a.m.: 28 IR 530; readopted filed Sep 21, 2010, 3:55 p.m.: 20101020-IR-068100360RFA)

SECTION 12. 68 IAC 15-13-1 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-13-1 General provisions

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 1. (a) This rule applies to all ~~riverboat~~ **casino** licensees.

(b) The following definitions apply throughout this rule:
(1) "Manually paid jackpot" means a jackpot that is paid by a slot attendant who obtains the funds and completes the necessary paperwork provided by the cage.
(2) "Pouch pay jackpot" means a manually paid jackpot of less than one thousand two hundred dollars ($1,200) that the slot attendant immediately and directly pays from funds in the slot attendant's money pouch.
(3) "Short pay" means a manually paid jackpot that is manually paid because the electronic gaming device hopper does not have a sufficient number of tokens to complete the payment of the jackpot.

~~(b)~~ **(c)** Manually paid jackpots shall be conducted in compliance with this rule.

~~(c)~~ **(d)** Manually paid jackpot slips may be handwritten or generated by computer.

~~(d) As used in this rule, "short pay" means a jackpot that is manually paid to the patron because the electronic gaming device hopper does not have a sufficient number of tokens to complete the payment of the jackpot.~~

(Indiana Gaming Commission; 68 IAC 15-13-1; filed Jul 18, 1996, 8:55 a.m: 19 IR 3311; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: 20081210-IR-068080730RFA)

SECTION 13. 68 IAC 15-13-2.5 IS AMENDED TO READ AS FOLLOWS:

68 IAC 15-13-2.5 Pouch pay jackpots

Authority: IC 4-33-4; IC 4-35-4
Affected: IC 4-33; IC 4-35

Sec. 2.5. ~~(a)~~ In accordance with 68 IAC 15-1-3, a ~~riverboat~~ **casino** licensee or ~~riverboat~~ **casino** license applicant must submit policies and procedures covering pouch pay jackpot winnings.

~~(b) No jackpot in excess of one thousand one hundred ninety-nine dollars and ninety-nine cents ($1,199.99) may be paid as a pouch pay jackpot.~~

(Indiana Gaming Commission; 68 IAC 15-13-2.5; filed Sep 30, 2004, 11:05 a.m.: 28 IR 531; readopted filed Sep 21, 2010, 3:55 p.m.: 20101020-IR-068100360RFA)

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