

# TITLE 68 INDIANA GAMING COMMISSION

## ARTICLE 1. GENERAL PROVISIONS

### Rule 1. Definitions

#### 68 IAC 1-1-1 Applicability

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

Affected: IC 4-33-2; IC 4-35-2

Sec. 1. In addition to the definitions in IC 4-33-2 and IC 4-35-2, the definitions in this rule apply throughout this title. (*Indiana Gaming Commission; 68 IAC 1-1-1; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### 68 IAC 1-1-2 "Act" defined

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 2. "Act" means the riverboat gambling act as established in IC 4-33. (*Indiana Gaming Commission; 68 IAC 1-1-2; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### 68 IAC 1-1-2.1 "Affiliate" defined

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 2.1. "Affiliate" means any person who directly or indirectly controls, is controlled by, or is under common control of another person. (*Indiana Gaming Commission; 68 IAC 1-1-2.1; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1015; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### 68 IAC 1-1-3 "Application" defined

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 3. "Application" means the total written materials, including the instructions, forms, and other documents issued by the commission, comprising applicant's request for an owner's license, supplier's license, or occupational license. (*Indiana Gaming Commission; 68 IAC 1-1-3; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### 68 IAC 1-1-3.5 "Associated equipment" defined

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

Affected: IC 4-33; IC 4-35

Sec. 3.5. "Associated equipment" means any of the following:

- (1) Equipment, mechanical, electromechanical, or electronic contrivance, component, or machine used remotely or directly in connection with gaming.
- (2) A game that would not otherwise be classified as a gaming device, including, but not limited to, links that connect to

progressive electronic gaming devices.

(3) Computerized systems that monitor electronic gaming devices.

(4) Equipment that affects the proper reporting of gross revenue.

(5) Devices for weighing and counting money.

(6) Patron counting systems.

(7) Any other equipment that the commission determines requires approval as associated equipment to ensure compliance with IC 4-33, IC 4-35, and this title.

*(Indiana Gaming Commission; 68 IAC 1-1-3.5; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-4 "Attributed interest" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 4. "Attributed interest" means any direct or indirect interest in a business entity deemed to be held by an individual not through the individual's actual holdings but through holdings of the individual's immediate family. *(Indiana Gaming Commission; 68 IAC 1-1-4; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-5 "Baccarat" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 5. "Baccarat" means a card game played with a deck or multiple decks of cards dealt from a shoe. The highest game point possible is nine (9). The hand with the highest point count wins. *(Indiana Gaming Commission; 68 IAC 1-1-5; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-6 "Best of knowledge" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 6. "Best of knowledge" means applicant's knowledge after substantial inquiry. *(Indiana Gaming Commission; 68 IAC 1-1-6; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-7 "Big six" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 7. "Big six" means a wheel game (vertical) in which a player bets on the outcome of the wheel spin. *(Indiana Gaming Commission; 68 IAC 1-1-7; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-8 "Bill changer" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 8. "Bill changer" means an electro-mechanical device attached either on or into an electronic gaming device for the purpose of dispensing an amount of tokens or credits equal to the amount of cash or cash equivalency inserted into the bill changer. The bill changer shall accept and analyze the legitimacy of United States currency. If a credit is issued, the player shall have the option of taking the entire amount of credit in tokens, or utilizing any portion of the registered credits to activate the electronic gaming device as a wager. (*Indiana Gaming Commission; 68 IAC 1-1-8; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-9 "Blackjack" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 9. "Blackjack" has the meaning set forth in section 96 of this rule. (*Indiana Gaming Commission; 68 IAC 1-1-9; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-10 "Business entity" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 10. "Business entity" means any of the following:

- (1) Partnership.
- (2) Incorporated or unincorporated association or group.
- (3) Firm.
- (4) Corporation.
- (5) Limited liability company.
- (6) Partnership for shares.
- (7) Trust.
- (8) Sole proprietorship.
- (9) Any other form of business.

(*Indiana Gaming Commission; 68 IAC 1-1-10; filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-11 "Candidate" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 3-5-2-6; IC 4-33

Sec. 11. "Candidate" has the meaning set forth in IC 3-5-2-6. (*Indiana Gaming Commission; 68 IAC 1-1-11; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-12 "Cash" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 12. "Cash" means United States currency and coin or foreign currency and coin which has been exchanged for its equivalent United States currency and coin value. (*Indiana Gaming Commission; 68 IAC 1-1-12; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-*

068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)

**68 IAC 1-1-13 "Cash equivalent" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 13. "Cash equivalent" means an asset that is readily convertible to cash, including the following:

- (1) Traveler's checks.
- (2) Certified checks, cashier's checks, and money orders.
- (3) Personal checks.
- (4) Credit extended by the casino licensee or by a recognized credit card company.
- (5) Any other instrument that the commission deems a cash equivalent.

Other than recognized credit cards or credit extended by the casino licensee, all instruments that constitute a cash equivalent must be made payable to the casino licensee, bearer, or cash. If an instrument is made payable to a third party, it shall not be deemed a cash equivalent. (*Indiana Gaming Commission; 68 IAC 1-1-13; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-13.1 "Central computer system" defined (Repealed)**

Sec. 13.1. (*Repealed by Indiana Gaming Commission; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA*)

**68 IAC 1-1-13.2 "Certificate of suitability" defined (Repealed)**

Sec. 13.2. (*Repealed by Indiana Gaming Commission; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA*)

**68 IAC 1-1-13.4 "Casino" defined**

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

Affected: IC 4-33; IC 4-35-5

Sec. 13.4. "Casino" means any facility where gaming is conducted under the jurisdiction of the commission under IC 4-33 or IC 4-35. (*Indiana Gaming Commission; 68 IAC 1-1-13.4; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-13.5 "Casino gambling operation" defined**

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

Affected: IC 4-33; IC 4-35-5

Sec. 13.5. "Casino gambling operation" means the conducting of gaming and all related activities, including, without limitation, the purveying of:

- (1) food;
- (2) beverages; and
- (3) retail goods and services;

at a casino and its support facilities. (*Indiana Gaming Commission; 68 IAC 1-1-13.5; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-13.6 "Casino licensee" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 13.6. "Casino licensee" means any:

- (1) riverboat licensee;
- (2) operating agent; or
- (3) gambling game licensee under IC 4-35.

*(Indiana Gaming Commission; 68 IAC 1-1-13.6; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-13.7 "Central computer system" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 13.7. "Central computer system" means one (1) or more computer systems that meet the following requirements:

(1) Is connected to all electronic gaming devices in the casino to record and contemporaneously monitor the activities of each electronic gaming device, including, but not limited to, the following or the equivalent:

- (A) The opening of any door of the electronic gaming device.
- (B) Hopper credits and fills.
- (C) Drop bucket collection.

(2) Is capable of contemporaneously monitoring the activities of the live gaming devices, including, but not limited to, the following or the equivalent:

- (A) Table fills.
- (B) Table credits.

(3) Is capable of tracking the activities of the live gaming devices, including, but not limited to, the following or the equivalent:

- (A) Table game inventories.
- (B) Employee gratuity deposit accounting.

(4) Is capable of contemporaneously monitoring the activities of the main bank and all cages, including, but not limited to, the following or the equivalent:

- (A) Manual payouts.
- (B) Hopper credits and hopper fills.
- (C) Table credits and fills.

(5) Is capable of tracking the activities of the main bank and all cages, including, but not limited to, the following or the equivalent:

- (A) Hard and soft count summary log.
- (B) Master gaming report.
- (C) Cashier checkout.
- (D) Main bank and cage inventory.
- (E) Deposits.
- (F) Cash transaction reports.
- (G) Patron credit.

(6) Is capable of monitoring the casino licensee's accounting package.

*(Indiana Gaming Commission; 68 IAC 1-1-13.7; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-13.8 "Certificate of suitability" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 13.8. "Certificate of suitability" means a written document issued by the executive director that indicates that an applicant has been chosen for licensure if the applicant meets the requirements set forth in 68 IAC 2-1-5(e). A certificate of

suitability is valid for a period of one hundred eighty (180) days unless extended by the commission. (*Indiana Gaming Commission; 68 IAC 1-1-13.8; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-14 "Chair" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 14. "Chair" means the chair of the Indiana gaming commission. (*Indiana Gaming Commission; 68 IAC 1-1-14; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-15 "Chip" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 15. "Chip" means a nonmetal or partly metal representative of value, redeemable for cash, and issued and sold by a riverboat licensee for use in gaming, other than in electronic gaming devices, on the licensee's riverboat or at the support facility. (*Indiana Gaming Commission; 68 IAC 1-1-15; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-15.1 "City" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 1-1-3.5; IC 4-33; IC 36-4-1

Sec. 15.1. "City" means a municipality that has a population of two thousand (2,000) or more as of the most recent federal decennial census or the most recent federal special census, special tabulation, or corrected population count effective under IC 1-1-3.5 and meets the qualifications of a city under IC 36-4-1. (*Indiana Gaming Commission; 68 IAC 1-1-15.1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2646; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-16 "Commission" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 16. "Commission" means the Indiana gaming commission. (*Indiana Gaming Commission; 68 IAC 1-1-16; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-17 "Commission surveillance room" defined**

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

Sec. 17. "Commission surveillance room" means a room or rooms in a casino for the exclusive use of the commission for the monitoring and recording of gaming or other activities. (*Indiana Gaming Commission; 68 IAC 1-1-17; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-18 "Compensation" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 18. "Compensation" means anything of value, including, but not limited to:

- (1) salary;
- (2) wages;
- (3) commissions;
- (4) tips;
- (5) gratuities;
- (6) fees;
- (7) bonuses; and
- (8) distributions from S corporations;

in any form, including cash, securities, real property and tangible and intangible personal property. (*Indiana Gaming Commission; 68 IAC 1-1-18; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-19 "Control" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 19. "Control" means the power to exercise authority over or to direct the management and policies of an individual, business, or entity. (*Indiana Gaming Commission; 68 IAC 1-1-19; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-20 "Count room" defined**

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

Sec. 20. "Count room" means the room or rooms designated for the counting and recording of a casino licensee's gaming receipts. (*Indiana Gaming Commission; 68 IAC 1-1-20; filed Nov 10, 1994, 11:00 a.m.: 18 IR 471; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-21 "Counterfeit chips or tokens" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 21. "Counterfeit chips or tokens" means chip-like or token-like objects that have not been approved pursuant to IC 4-33 or this title, including objects commonly referred to as slugs, but not including coins of the United States or any other nation. (*Indiana Gaming Commission; 68 IAC 1-1-21; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-22 "Craps" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 22. "Craps" means a game that offers a variety of bets on the layout. Two (2) dice are rolled by a patron called a shooter to make different points or combinations. The bet is dependent on the point value on the uppermost side of the two (2) dice that come to rest after being thrown by the shooter. A first throw of seven (7) or eleven (11) wins; a first throw of two (2), three (3), or twelve (12) loses; and a first throw of four (4), five (5), six (6), eight (8), nine (9), or ten (10) can be won only by repeating the number thrown before a seven (7) appears. (*Indiana Gaming Commission; 68 IAC 1-1-22; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-23 "Debt instrument" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 23. "Debt instrument" means any:

- (1) bond;
- (2) loan;
- (3) mortgage;
- (4) trust;
- (5) deed (when committed in any form as collateral);
- (6) note;
- (7) debenture;
- (8) subordination;
- (9) guaranty;
- (10) letter of credit;
- (11) security agreement;
- (12) pledge;
- (13) chattel mortgage; or
- (14) other form of indebtedness.

(*Indiana Gaming Commission; 68 IAC 1-1-23; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-24 "Dependent" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 24. "Dependent" means any individual who received over one-half (½) of his or her support in a calendar year from any other individual. (*Indiana Gaming Commission; 68 IAC 1-1-24; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-25 "Drop" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 25. "Drop" means the total amount of tokens removed from the drop bucket of an electronic gaming device, the currency removed from the bill changers, and the total dollar amount of the currency, coins, chips, tokens, or credits removed from the live gaming devices. If a patron is utilizing an electronic card, the drop is the amount deducted from a patron's account as a result of electronic gaming device play. (*Indiana Gaming Commission; 68 IAC 1-1-25; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.:*



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**68 IAC 1-1-25.1 "Drop box" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 25.1. "Drop box" means the box attached to a live gaming device table that is used to collect, but not limited to, the following items:

- (1) Currency.
- (2) Coin.
- (3) Cash equivalents.
- (4) Damaged chips.
- (5) Documents verifying the extension of credit.
- (6) Request for fill and credit forms.
- (7) Fill and credit slips.
- (8) Error notification slips.
- (9) Table inventory forms.

(Indiana Gaming Commission; 68 IAC 1-1-25.1; filed Apr 19, 1996, 3:00 p.m.: 19 IR 2247; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)

**68 IAC 1-1-26 "Drop bucket" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 26. "Drop bucket" means the container in the locked portion of an electronic gaming device or the cabinet of an electronic gaming device used to collect the tokens retained by the electronic gaming device that are not used to make automatic payments from the electronic gaming device and are subject to authorized removal. (Indiana Gaming Commission; 68 IAC 1-1-26; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)

**68 IAC 1-1-27 "Drop meter" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 27. "Drop meter" means an electronic device that automatically and continuously counts the number of tokens dropped into an electronic gaming device's drop bucket. (Indiana Gaming Commission; 68 IAC 1-1-27; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)

**68 IAC 1-1-28 "Electronic card" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 28. "Electronic card" means a card used for cash or cash equivalent. (Indiana Gaming Commission; 68 IAC 1-1-28; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)

**68 IAC 1-1-29 "Electronic gaming device" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 29. "Electronic gaming device" means any electromechanical device, electrical device, or machine which upon payment of consideration is available to play or operate, the operation of which, whether by reason of the skill of the operator or application of the element of chance, or both, may deliver or entitle the person playing or operating the machine to receive premiums, merchandise, tokens, redeemable game credits, or anything of value other than unredeemable free games whether the payoff is made automatically from the machines or in any other manner. (*Indiana Gaming Commission; 68 IAC 1-1-29; filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-30 "Electronic gaming device drop" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 30. "Electronic gaming device drop" means the total value of tokens contained in the drop bucket and the currency removed from bill changers. If a patron is utilizing an electronic card, the drop is the amount deducted from a patron's account as a result of electronic gaming device play. (*Indiana Gaming Commission; 68 IAC 1-1-30; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-31 "Electronic gaming device win" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 31. "Electronic gaming device win" means the electronic gaming device drop minus hand-paid jackpots minus hopper fills plus hopper credits. (*Indiana Gaming Commission; 68 IAC 1-1-31; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**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 an individual employed by the commission who is a member of the enforcement section of the commission's division of gaming agents. (*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; filed Apr 13, 2011, 11:20 a.m.: 20110511-IR-068100498FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-32 "EPROM" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 32. "EPROM" means erasable, programmable, read only memory. (*Indiana Gaming Commission; 68 IAC 1-1-32; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-33 "Excluded person" defined (Repealed)**

Sec. 33. (Repealed by Indiana Gaming Commission; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA)

**68 IAC 1-1-34 "Exclusion list" defined (Repealed)**

Sec. 34. (Repealed by Indiana Gaming Commission; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA)

**68 IAC 1-1-35 "Executive director" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 35. "Executive director" means the executive director of the Indiana gaming commission. (*Indiana Gaming Commission; 68 IAC 1-1-35; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-36 "Faro" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 36. "Faro" means a card game played with a single fifty-two (52) card deck, dealt by drawing cards face up from an open framed box during which a player places bets on a special board or layout, betting on each series of two (2) cards as they are drawn from the open framed box. (*Indiana Gaming Commission; 68 IAC 1-1-36; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-37 "FIN" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 37. "FIN" means a federal identification number. (*Indiana Gaming Commission; 68 IAC 1-1-37; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-38 "Felony" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 38. "Felony" means a criminal offense for which a sentence of imprisonment of more than one (1) year may be imposed under the laws of any jurisdiction. (*Indiana Gaming Commission; 68 IAC 1-1-38; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-39 "Financial statement" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 39. "Financial statement" means any of the following:

- (1) Balance sheet.
- (2) Income statement.
- (3) Profit and loss statement.

(4) Statement of cash flow.

(5) Sources and uses of funds statement.

*(Indiana Gaming Commission; 68 IAC 1-1-39; filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-40 "Game" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 40. "Game" means a banking, wagering, gambling, or percentage game or activity that is played for chips, tokens, or anything of value, including, without limitation, those played with:

(1) cards;

(2) chips;

(3) tokens;

(4) dice;

(5) implements; or

(6) electronic, electrical, or electromechanical devices or machines.

*(Indiana Gaming Commission; 68 IAC 1-1-40; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-41 "Gaming" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 41. "Gaming" means the dealing, operating, carrying on, conducting, maintaining, or exposing for play of any game. *(Indiana Gaming Commission; 68 IAC 1-1-41; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-41.5 "Gaming agent" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3; IC 4-33-4-3.5

Affected: IC 4-33-4.5-5

Sec. 41.5. "Gaming agent" means an individual employed by the commission under IC 4-33 who is a member of the division of gaming agents and compensated on the salary matrix prescribed in IC 4-33-4.5-5. *(Indiana Gaming Commission; 68 IAC 1-1-41.5; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-42 "Gaming area" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 42. "Gaming area" means the room or rooms on a casino in which gaming is conducted. *(Indiana Gaming Commission; 68 IAC 1-1-42; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-43 "Gaming equipment or supplies" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 43. "Gaming equipment or supplies" means a machine, mechanism, device, or implement that affects the result of a game by determining win or loss, including, without limitation, any of the following:

- (1) Electronic gaming devices.
- (2) Software.
- (3) Cards.
- (4) Dice.
- (5) Any representative of value used with any game, including, without limitation, chips, tokens, or electronic debit cards and related hardware and software.

*(Indiana Gaming Commission; 68 IAC 1-1-43; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-44 "Gaming operations manager" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 44. "Gaming operations manager" means a person who has the ultimate responsibility to manage, direct, or administer the conducting of gaming. *(Indiana Gaming Commission; 68 IAC 1-1-44; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-45 "Give-away" defined**

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

Sec. 45. "Give-away" means a game where patron entry to the game may be determined by:

- (1) attendance at a casino;
- (2) accumulation of either points or credits; or
- (3) the attainment of a certain outcome on an electronic gaming device.

*(Indiana Gaming Commission; 68 IAC 1-1-45; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-46 "Hand" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 46. "Hand" means either one (1) game in a series, one (1) deal in a card game, or the cards held by a player. *(Indiana Gaming Commission; 68 IAC 1-1-46; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-47 "Hearing officer" defined (Repealed)**

Sec. 47. *(Repealed by Indiana Gaming Commission; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA)*

**68 IAC 1-1-48 "Immediate family" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 48. "Immediate family" means:

- (1) spouse (other than a spouse who is legally separated from the individual under a decree of divorce or separate maintenance);
- (2) parent;
- (3) child;
- (4) sibling;
- (5) father-in-law; or
- (6) mother-in-law;

whether by whole or half blood, marriage, adoption, or natural relationship. (*Indiana Gaming Commission; 68 IAC 1-1-48; filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-49 "Indiana taxpayer identification number" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 49. "Indiana taxpayer identification number" means the number assigned to businesses registered with the department of state revenue. (*Indiana Gaming Commission; 68 IAC 1-1-49; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-50 "Indirect interest" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 50. "Indirect interest" means any interest in any other person that is deemed to be held by the holder, not through the holder's actual holdings in the person, but through the holder's holdings in any other person. (*Indiana Gaming Commission; 68 IAC 1-1-50; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-51 "Individual" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 51. "Individual" means any natural person. (*Indiana Gaming Commission; 68 IAC 1-1-51; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-52 "Institutional investor" defined**

Authority: IC 4-33-4; IC 4-35-4-2; IC 4-35-4-3  
Affected: IC 4-33; IC 4-35

Sec. 52. "Institutional investor" means any:

- (1) retirement fund administered by a public agency for the exclusive benefit of federal, state, or local public employees;
- (2) investment company registered under the Investment Company Act of 1940 (15 U.S.C. 80a);

- (3) collective investment trust organized by banks under Part Nine (9) of the rules of the Comptroller of the Currency;
- (4) closed end investment trust;
- (5) chartered or licensed life insurance company or property and casualty insurance company;
- (6) banking, chartered, or licensed lending institution;
- (7) investment adviser registered under the Investment Advisors Act of 1940 (15 U.S.C. 80b); or
- (8) other entity the commission determines constitutes an institutional investor;

that acquires voting or nonvoting units in the ordinary course of its investment business and holds those units for investment purposes only and not for the purpose of causing, directly or indirectly, the election of a majority of the board of directors or any change in the corporate charter, bylaws, management, policies, or operations of the business entity in which it holds those securities. (*Indiana Gaming Commission; 68 IAC 1-1-52; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-52.1 "Interim compliance period" defined**

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

Sec. 52.1. "Interim compliance period" means the period of time between the issuance of a:

- (1) certificate of suitability; and
- (2) permanent casino owner's license or notice of denial.

(*Indiana Gaming Commission; 68 IAC 1-1-52.1; filed Apr 19, 1996, 3:00 p.m.: 19 IR 2247; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-53 "Internal control system" defined**

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

Sec. 53. "Internal control system" means the internal procedures, administration, and accounting controls designed by the casino licensee for the purpose of exercising control over the casino gambling operation. (*Indiana Gaming Commission; 68 IAC 1-1-53; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-54 "Irrevocable letter of credit" defined**

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

Sec. 54. "Irrevocable letter of credit" means an engagement by a banking institution made at the request of a casino licensee that the banking institution will honor demands for payment upon compliance with the conditions specified in the letter of credit. The letter of credit cannot be withdrawn or canceled before the expiration date. The letter of credit must be issued, held, and negotiated under the "Uniform Custom and Practice for Documentary Credits", 2007 Revision, International Chamber of Commerce Publication No. 600, which is incorporated by reference. Copies are available from the International Chamber of Commerce, 38 cours Albert 1er, 75008 Paris, France or <http://www.iccwbo.org/>. (*Indiana Gaming Commission; 68 IAC 1-1-54; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; filed Jul 3, 1996, 5:00 p.m.: 19 IR 3034; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-55 "Junketeer" defined**

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

Sec. 55. "Junketeer" means a person who is compensated depending on how much a patron either wagers or loses or a determination by the casino licensee or gaming operation manager as to the potential amount a patron will wager or lose. (*Indiana Gaming Commission; 68 IAC 1-1-55; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-56 "Keno" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 56. "Keno" means a game where a player selects anywhere from one (1) to twenty (20) numbers between one (1) and eighty (80). A winner is determined by an automatic device which randomly chooses twenty (20) numbers. (*Indiana Gaming Commission; 68 IAC 1-1-56; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-57 "Key person" defined**

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

Sec. 57. "Key person" means any:

- (1) officer;
- (2) director;
- (3) executive;
- (4) employee;
- (5) trustee;
- (6) substantial owner;
- (7) independent contractor; or
- (8) agent;

of a business entity, having the power to exercise, either alone or in conjunction with others, management or operating authority over a business entity or an affiliate thereof. (*Indiana Gaming Commission; 68 IAC 1-1-57; filed Nov 10, 1994, 11:00 a.m.: 18 IR 475; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; filed Jul 21, 2010, 2:21 p.m.: 20100818-IR-068100052FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-58 "Klondike" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 58. "Klondike" means a solitaire card game played with a single fifty-two (52) card deck. (*Indiana Gaming Commission; 68 IAC 1-1-58; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)



**68 IAC 1-1-59 "Live gaming device" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 59. "Live gaming device" means any nonelectrical or nonelectromechanical apparatus used to gamble upon, including, but not limited to, the following:

- (1) Roulette wheel and table.
- (2) Blackjack table.
- (3) Crap table.
- (4) Poker table.

*(Indiana Gaming Commission; 68 IAC 1-1-59; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-59.1 "Main bank" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 59.1. "Main bank" or its equivalent means the department that is responsible for at least the following:

- (1) Cashing customer checks.
- (2) Establishing hold check privileges.
- (3) Redeeming chips, tokens, or both.
- (4) Providing working funds to all operational departments.
- (5) Deposits of front money.
- (6) Maintaining custody of all inventory.
- (7) Processing markers.
- (8) Assuming responsibility for the following individuals and physical structures:
  - (A) Casino cashiers.
  - (B) Change attendants.
  - (C) Main bank vault or vaults.
  - (D) Any other structure that houses tokens, chips, or other representatives of value that the main bank is accountable for.

*(Indiana Gaming Commission; 68 IAC 1-1-59.1; filed Apr 19, 1996, 3:00 p.m.: 19 IR 2247; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-60 "Multiple action blackjack" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 60. "Multiple action blackjack" means a multiple hand, maximum of three (3), variation of the card game blackjack. The dealer uses a common up-card and players play two (2) to three (3) hands as in a normal blackjack game. *(Indiana Gaming Commission; 68 IAC 1-1-60; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-61 "Negotiable security" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33; IC 26-1

Sec. 61. "Negotiable security" has the meaning set forth in IC 26-1. (*Indiana Gaming Commission; 68 IAC 1-1-61; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-62 "Nominee" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 62. "Nominee" means any person that holds as owner of record the legal title to tangible or intangible personal or real property, including, without limitation, any stock, bond debenture, note, investment contract, or real estate on behalf of another individual or business entity, and as such is designated and authorized to act on his, her, or its behalf with respect to such property. (*Indiana Gaming Commission; 68 IAC 1-1-62; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-63 "Nonvalue chip" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 63. "Nonvalue chip" means a chip, clearly and permanently impressed, engraved or imprinted with the name of the riverboat licensee, but bearing no value designation. (*Indiana Gaming Commission; 68 IAC 1-1-63; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-64 "Notice of commission action" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 64. "Notice of commission action" means a notice of denial, restriction, suspension, revocation, nonrenewal, exclusion, or action taken in a disciplinary commission issued by the commission. (*Indiana Gaming Commission; 68 IAC 1-1-64; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-65 "Occupational licensee" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33-8

Sec. 65. "Occupational licensee" means a person who holds an occupational license under IC 4-33-8 and 68 IAC 2-3. (*Indiana Gaming Commission; 68 IAC 1-1-65; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-66 "Payout" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 66. "Payout" means winnings resulting from a wager. (*Indiana Gaming Commission; 68 IAC 1-1-66; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-67 "Petitioner" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 67. "Petitioner" means an applicant, licensee, or excluded person who requests a hearing upon issuance of a notice of commission action. (*Indiana Gaming Commission; 68 IAC 1-1-67; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-68 "Pit" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 68. "Pit" means the area enclosed or encircled by the arrangement of the gaming tables in which riverboat gambling personnel administer and supervise the live games played at the tables by patrons located outside the perimeter of the area. (*Indiana Gaming Commission; 68 IAC 1-1-68; filed Nov 10, 1994, 11:00 a.m.: 18 IR 476; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-69 "Poker" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 69. "Poker" means a card game played by a maximum of ten (10) players who are dealt cards by a nonplayer dealer. The object of the game is for each player to bet the superiority of his or her own hand and win the other players' bets by either making a bet no other player is willing to match or proving to hold the most valuable cards after all the betting is over. (*Indiana Gaming Commission; 68 IAC 1-1-69; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-70 "Political contribution" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 3-5-2-15; IC 4-33

Sec. 70. "Political contribution" has the meaning set forth in IC 3-5-2-15. (*Indiana Gaming Commission; 68 IAC 1-1-70; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-71 "Predecessor company" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 71. "Predecessor company" means a business entity which no longer exists in its original form but whose assets in substantial part have been acquired by another business entity or which has undergone certain internal changes, such as those of identity, form, or capital structure. (*Indiana Gaming Commission; 68 IAC 1-1-71; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-72 "Progressive controller" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 72. "Progressive controller" means the hardware and software that controls all communication among the electronic gaming devices or live gaming devices within a progressive electronic gaming device link or a progressive live gaming device link and its associated progressive meter. (*Indiana Gaming Commission; 68 IAC 1-1-72; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-73 "Progressive jackpot" defined**

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

Sec. 73. "Progressive jackpot" means a value determined by application of an approved formula to the income of independent, local, or electronic gaming devices or live gaming devices. This value must be clearly displayed above the interlinked electronic gaming device, above or beside the live gaming device and metered incrementally by a progressive controller. A progressive electronic gaming device must prominently display a manufacturer-supplied glass indicating either that a progressive jackpot is to be paid or the current amount of the jackpot. (*Indiana Gaming Commission; 68 IAC 1-1-73; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-74 "Public official" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 74. "Public official" means a person who is:

- (1) authorized to perform an official function on behalf of, and is paid by a governmental entity, as defined in IC 35-41-1-12 [*IC 35-41-1-12 was repealed by P.L.114-2012, SECTION 105, effective July 1, 2012.*];
- (2) elected or appointed to office to discharge a public duty for a governmental entity; or
- (3) appointed in writing by a public official to act in an advisory capacity, with or without compensation, to a governmental entity concerning a contract or purchase to be made by the entity.

This term does not include a person appointed to an honorary advisory or honorary military position. (*Indiana Gaming Commission; 68 IAC 1-1-74; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-75 "Publicly held company" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 75. "Publicly held company" means a company whose shares are traded on an established securities market or whose shares are readily tradable on a secondary market. (*Indiana Gaming Commission; 68 IAC 1-1-75; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-76 "Registered agent" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33; IC 23-1-24-1

Sec. 76. "Registered agent" means any individual or business entity against whom service of process may be made on behalf of a business entity under IC 23-1-24-1. (*Indiana Gaming Commission; 68 IAC 1-1-76; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-77 "Relative" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 77. "Relative" means:

- (1) spouse (other than a spouse who is legally separated from the individual under a decree of divorce or separate maintenance);
- (2) parent;
- (3) grandparent;
- (4) child;
- (5) grandchild;
- (6) sibling;
- (7) uncle;
- (8) aunt;
- (9) nephew;
- (10) niece;
- (11) first cousin;
- (12) father-in-law;
- (13) mother-in-law;
- (14) son-in-law;
- (15) daughter-in-law;
- (16) brother-in-law; or
- (17) sister-in-law;

whether by whole or half blood, marriage, adoption, or natural relationship. (*Indiana Gaming Commission; 68 IAC 1-1-77; filed Nov 10, 1994, 11:00 a.m.: 18 IR 477; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-78 "Review officer" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 78. "Review officer" means a commission staff member assigned by the executive director to review a request for waiver of the convicted felon disqualification sought by an applicant for an occupational license under 68 IAC 2-4. (*Indiana Gaming Commission; 68 IAC 1-1-78; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-79 "Riverboat gambling operation" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 79. "Riverboat gambling operation" means the conducting of gaming and all related activities, including, without limitation, the purveying of food, beverages, retail goods and services, and transportation on a riverboat and at its support facilities. (*Indiana Gaming Commission; 68 IAC 1-1-79; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-79.1 "Riverboat license applicant" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 79.1. "Riverboat license applicant" means an applicant for a riverboat owner's license that has been issued a certificate of suitability under 68 IAC 2-1-5. (*Indiana Gaming Commission; 68 IAC 1-1-79.1; filed Apr 19, 1996, 3:00 p.m.: 19 IR 2247; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-80 "Riverboat licensee" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 80. "Riverboat licensee" means a person who holds a riverboat owner's license under IC 4-33 and 68 IAC 2-1. (*Indiana Gaming Commission; 68 IAC 1-1-80; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-81 "Roulette" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 81. "Roulette" means a game played on a horizontal rotating wheel in which players can bet on which compartment a nonmetallic ball may come to rest. (*Indiana Gaming Commission; 68 IAC 1-1-81; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-82 "Slot machine" defined**

Authority: IC 4-33-4; IC 4-35-4-2; IC 4-35-4-3  
Affected: IC 4-33; IC 4-35

Sec. 82. "Slot machine" means a type of electronic gaming device that is controlled by a microprocessor or equivalent and that utilizes a random number generator in the determination of game outcome. A slot machine may utilize a live host whose duties are limited to one (1) or more of the following:

- (1) Effectuating monetary transactions with patrons at the buy-in and cash-out stages.
- (2) Administering casino internal control procedures regarding patron buy-ins and cash-outs.
- (3) Monitoring the technical functionality of the device and reporting malfunctions to appropriate casino staff.
- (4) Explaining to casino patrons the rules of a game and how to operate the device.

(*Indiana Gaming Commission; 68 IAC 1-1-82; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 23, 2008, 1:30 p.m.: 20090121-IR-068080298RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-83 "Slug" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 83. "Slug" means a disk, metal or otherwise, that has no cash value. (*Indiana Gaming Commission; 68 IAC 1-1-83; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-84 "Sole proprietor" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 84. "Sole proprietor" means an individual who owns one hundred percent (100%) of the assets and who is solely liable for the debts of a business. (*Indiana Gaming Commission; 68 IAC 1-1-84; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-85 "Substantial creditor" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 85. "Substantial creditor" means the holder of any debt instrument of whatever character, against an individual or business entity, whether secured or unsecured, matured or unmatured, liquidated or unliquidated, absolute, fixed or contingent, the aggregate amount of which is fifty thousand dollars (\$50,000) or more. (*Indiana Gaming Commission; 68 IAC 1-1-85; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-86 "Substantial owner" defined**

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

Sec. 86. "Substantial owner" means any:

(1) person who is not an institutional investor, who holds any direct, indirect, or attributed legal or beneficial interest, and whose combined direct, indirect, or attributed interest is five percent (5%) or more ownership interest in a business entity;  
or

(2) institutional investor holding fifteen percent (15%) or more ownership interest in a business entity.

(*Indiana Gaming Commission; 68 IAC 1-1-86; filed Nov 10, 1994, 11:00 a.m.: 18 IR 478; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 15, 2008, 11:29 a.m.: 20090114-IR-068080430RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-87 "Supplier licensee" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33-7

Sec. 87. "Supplier licensee" means a person who holds a supplier's license under IC 4-33-7 and 68 IAC 2-2. (*Indiana Gaming Commission; 68 IAC 1-1-87; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-88 "Support facility" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 88. "Support facility" means a structure that is part of, or operates in connection with, a casino gambling operation, is leased or is owned in whole or in part by a casino licensee or supplier licensee, or one (1) or more of its key persons, and is located adjacent to or in close proximity to the casino, including without limitation, the following:

- (1) Riverboats.
- (2) Offices.
- (3) Docking facilities.
- (4) Parking facilities.
- (5) Restaurants.
- (6) Pavilion.
- (7) Hotels.
- (8) Meeting rooms and conference facilities.
- (9) Ancillary platforms.

*(Indiana Gaming Commission; 68 IAC 1-1-88; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-89 "Surety bond" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 89. "Surety bond" means a contractual arrangement between the surety, the principal, and the obligee that the surety agrees to protect the obligee if the principal defaults in performing the principal's contractual obligation. The bond is the instrument that bonds the surety. *(Indiana Gaming Commission; 68 IAC 1-1-89; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-90 "Surveillance room" defined**

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

Affected: IC 4-33; IC 4-35

Sec. 90. "Surveillance room" means a room or rooms in a casino that are used for monitoring and recording of gaming and other activities by persons present at the casino gambling operation. *(Indiana Gaming Commission; 68 IAC 1-1-90; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-1-91 "Table drop" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 91. "Table drop" means the total dollar amount of United States currency, chips, or credit contained in the drop box of a live gaming device. *(Indiana Gaming Commission; 68 IAC 1-1-91; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*



**68 IAC 1-1-92 "Table game" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 92. "Table game" has the meaning set forth in section 59 of this rule. (*Indiana Gaming Commission; 68 IAC 1-1-92; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-93 "Table win" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 93. "Table win" means the dollar amount won by the riverboat licensee through play at a live game which is the total of the table drop, plus ending chip inventory, plus credits, minus opening chip inventory, minus fills. (*Indiana Gaming Commission; 68 IAC 1-1-93; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-94 "Theoretical payout percentage" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 94. "Theoretical payout percentage" means the sum of the number of cash equivalents, credits, or tokens expected to be paid as a result of the jackpots divided by the number of different possible outcomes. (*Indiana Gaming Commission; 68 IAC 1-1-94; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**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; filed Apr 13, 2011, 11:20 a.m.: 20110511-IR-068100498FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-95 "Token" defined**

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

Sec. 95. "Token" means a metal or metal core representative of value, redeemable for cash only at the issuing casino gambling operation and issued and sold by a casino licensee for use in electronic gaming devices. (*Indiana Gaming Commission; 68 IAC 1-1-95; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-95.1 "Training license" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33-8

Sec. 95.1. "Training license" means a license issued to an occupational training school approved under IC 4-33-8. (*Indiana Gaming Commission; 68 IAC 1-1-95.1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2646; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-96 "Twenty-one" or "blackjack" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 96. "Twenty-one" or "blackjack" means a card game played with a single deck or multiple decks of cards dealt from a shoe. The player attempts to beat the dealer by obtaining a total equal to or less than twenty-one (21) so that his or her total is higher than the dealer's. (*Indiana Gaming Commission; 68 IAC 1-1-96; filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-97 "Value chip" defined**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 97. "Value chip" means a chip, clearly and permanently impressed, engraved, or imprinted with the name of the riverboat and the specific value of the chip. (*Indiana Gaming Commission; 68 IAC 1-1-97; filed Nov 10, 1994, 11:00 a.m.: 18 IR 480; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-1-98 "Wager" defined**

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

Sec. 98. "Wager" means a sum of money or thing of value risked in a gambling game in a licensed casino. (*Indiana Gaming Commission; 68 IAC 1-1-98; filed Nov 10, 1994, 11:00 a.m.: 18 IR 480; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**Rule 2. General Procedures**

**68 IAC 1-2-1 Rules of construction**

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

Sec. 1. In the interpretation of the rules adopted by the commission, an ambiguity shall be resolved in favor of the interpretation that would provide:

- (1) the greater assurance of integrity in either the operation or regulation of casino gambling; or
- (2) heightened public confidence in the regulation or regulatory processes relating to casino gambling.

(*Indiana Gaming Commission; 68 IAC 1-2-1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2646; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-2-2 Severability**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 2. (a) If any provision of any rule promulgated by the commission, as now or later amended, or application of any such rule to any person or circumstance is held invalid, the invalidity does not affect other provisions that can be given effect without the invalid provision or application.

(b) Except in the case of a rule containing a nonseverability provision, each part and application of every rule is severable. If any provision or application of a rule is held invalid, the invalidity does not affect the remainder of the rule unless:

- (1) the remainder is so essentially and inseparably connected with, and so dependent upon, the invalid provision or application that it cannot be presumed that the remainder would have been promulgated without the invalid provision or application; or
- (2) the remainder is incomplete and incapable of being executed in accordance with the commission's intent without the invalid provision or application.

This section applies to every rule promulgated by the commission, regardless of whether enacted before or after the effective date of this section. (*Indiana Gaming Commission; 68 IAC 1-2-2; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2646; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-2-3 Quorum and commission action (Repealed)**

Sec. 3. (*Repealed by Indiana Gaming Commission; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA*)

**68 IAC 1-2-4 Commission procedure**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 4. Except as provided by this title, the Act, or other statute, the commission shall determine its practices and internal rules of procedure. In the absence of contrary action by the commission, Roberts Rules of Order shall apply. (*Indiana Gaming Commission; 68 IAC 1-2-4; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-2-5 Commission meetings**

Authority: IC 4-33-4; IC 4-35-4  
Affected: IC 4-33; IC 4-35; IC 5-14-1.5

Sec. 5. The commission shall hold its meetings in accordance with the Indiana Open Door Law, IC 5-14-1.5, and notice of the meetings shall be posted at the:

- (1) main offices of the commission; and
- (2) when possible, offices of the commission maintained at the casinos.

(*Indiana Gaming Commission; 68 IAC 1-2-5; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-2-5.1 Requests to address the commission**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-21.5; IC 4-22; IC 4-33

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INDIANA GAMING COMMISSION

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Sec. 5.1. (a) Unless otherwise authorized by the executive director, an individual who wishes to address the commission at a meeting held under section 5 of this rule shall submit a written request to address the commission to the executive director at least ten (10) days before the scheduled meeting.

(b) The written request shall contain, at a minimum, the following information:

- (1) The name of the individual who wishes to address the commission.
- (2) The person the individual represents.
- (3) The issue about which the individual wishes to address the commission.
- (4) The amount of time the individual requests.
- (5) The business address and business telephone number at which the individual can be reached.

(c) The individual requesting an allotment of time shall submit any documentation supporting the individual's position and that the individual wants the commission to review to the commission at least five (5) days before the commission meeting. The executive director may require the individual to supplement the written request or to submit additional supporting documentation. The individual submitting any documentation must submit ten (10) copies of the documentation for distribution to the commission.

(d) The executive director may deny any request to address the commission if the individual fails to comply with subsection (b) or (c).

(e) The commission staff shall notify the individual of the executive director's decision regarding the individual's ability to address the commission.

(f) If the executive director denies an individual's request to address the commission, the commission staff shall inform the commission of the request and the denial and may forward any written information submitted by the individual to the commission.

(g) The executive director may waive the time requirements set forth in subsections (a) and (c) if one (1) of the following circumstances exists:

- (1) The executive director determines that the issue the individual will discuss is of such import that it is in the best interest of the public and the gaming industry to waive the time requirements set forth in subsections (a) and (c).
- (2) The timing of the announcement of the date of the meeting makes it impossible for the individual requesting the ability to address the commission to meet the time requirements of subsections (a) and (c).

(h) This section does not apply to hearings conducted under IC 4-21.5 or IC 4-22. (*Indiana Gaming Commission; 68 IAC 1-2-5.1; filed Mar 21, 1997, 10:00 a.m.: 20 IR 2090; filed Jan 30, 1998, 11:00 a.m.: 21 IR 2058; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-2-6 Resolutions**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 6. Commission matters that are acted upon during a meeting held under this rule may be memorialized in the form of a resolution signed by the chair and secretary of the commission or in the official minutes of a meeting held under this rule. (*Indiana Gaming Commission; 68 IAC 1-2-6; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-2-7 Authority of executive director**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 7. Except as provided in section 8 of this rule, the commission hereby delegates to its executive director all power and authority to act in the name of the commission with respect to all desirable and proper actions to administer and carry out the executive functions of the commission or enforce IC 4-33, including, but not limited to, the power to:

- (1) execute and enter into contracts on behalf of the commission;
- (2) incur reasonable and necessary expenses in the name of the commission in the manner provided by law;

- (3) take and hold property on behalf of the commission; and
- (4) hire and fire employees of the commission.

*(Indiana Gaming Commission; 68 IAC 1-2-7; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-2-8 Exceptions to executive director's authority**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 8. The authority granted in section 7 of this rule shall not extend to any action which the commission has:

- (1) previously considered and specifically rejected; or
- (2) provided contrary directions to the executive director.

*(Indiana Gaming Commission; 68 IAC 1-2-8; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-2-9 Administrative procedures**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 9. Except as provided in section 10 of this rule, any request for action to be taken by the commission, including applications for licenses, must be filed with the commission not later than a date and time that shall be established by the commission for the filing of such requests or, if no such date and time is established, then not less than ten (10) business days prior to the commission meeting at which the request would be considered. Applications or requests filed later than a deadline established by the commission shall not be considered by the commission except as provided in section 10 of this rule. *(Indiana Gaming Commission; 68 IAC 1-2-9; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-2-10 Consideration of late applications**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 10. (a) An application, including any request for action to be taken by the commission on an application, which is submitted for filing after a deadline established by the commission may be considered if any of the following occurs:

- (1) The executive director determines the following:
  - (A) That both of the following conditions exist:
    - (i) No other applicant or interested person would be unfairly prejudiced by the delayed submission of the application.
    - (ii) The commission has not taken substantive action with respect to any application submitted prior to the deadline.
  - (B) That at least one (1) of the following conditions is present:
    - (i) The failure to file the application prior to the expiration of the deadline was caused by the action or inaction of a third party which relates to the method or timing of the delivery of the application to the commission.
    - (ii) The circumstances surrounding the method or timing of the delivery of the application indicate that in the normal course of events the application should have been received by the commission prior to the expiration of the deadline.
    - (iii) Prior to the expiration of the deadline, the applicant reasonably believed that delivery of the application

would occur prior to expiration of the deadline.

(2) The executive director determines that the failure to file the application prior to the expiration of the deadline was caused in whole or in part by incorrect or misleading information or instructions provided by an employee or agent of the commission and that the applicant acted reasonably in relying on such information or instructions taking into consideration the nature of the information or instructions and the identity of the individual providing the information or instructions.

(3) The commission acts to establish a new deadline applicable to all persons to which the original deadline was applicable.

(4) The commission determines that consideration of the application is necessary to prevent manifest injustice.

(b) The commission must, at a meeting held under section 5 of this rule, approve acceptance of the late application or take the other action requested on the application. (*Indiana Gaming Commission; 68 IAC 1-2-10; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2647; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-2-11 Procedure related to amended applications**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 11. An application, including any request for action, may be amended or supplemented subsequent to the expiration of a deadline, in accordance with such procedures as are established by the commission or the executive director and may be considered by the commission as though such an amended or supplemented application had been originally submitted prior to the deadline. (*Indiana Gaming Commission; 68 IAC 1-2-11; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2648; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-2-12 Supplemental deadlines**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 12. The executive director or the commission may establish additional deadlines for the submission of information which supplements, changes, or corrects information or materials previously submitted. The executive director or the commission may refuse to consider any such information that is not submitted in compliance with established deadlines. (*Indiana Gaming Commission; 68 IAC 1-2-12; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2648; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

### **Rule 3. Economic Development Payments**

#### **68 IAC 1-3-1 Applicability**

Authority: IC 4-33-4

Affected: IC 4-33-23

Sec. 1. This rule applies to development providers, specified recipients, unspecified recipients, and parties to a development agreement. (*Indiana Gaming Commission; 68 IAC 1-3-1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2648; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Nov 21, 2012, 7:09 a.m.: 20121219-IR-068120055FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-3-2 Reports**

Authority: IC 4-33-4

Affected: IC 4-33-23-10

Sec. 2. (a) Development providers and specified recipients shall report, in a manner determined by the executive director or the executive director's designee, upon the status of economic development payments.

(b) A development provider or specified recipient that submits a report to the commission under IC 4-33-23-10 shall submit the report:

- (1) on a calendar year basis;
- (2) no later than March 1 of the year following the calendar year that the report covers;
- (3) on a form provided by the commission;
- (4) in electronic form and in original; and
- (5) to the executive director.

(c) Development providers and specified recipients shall produce additional reports upon request of the commission, the executive director, or the executive director's designee.

(d) An unspecified recipient is not required to submit a report under IC 4-33-23 unless otherwise required by the commission or executive director.

(e) Upon request of the commission, the executive director, or the executive director's designee, a party not otherwise required to submit a report shall submit a report concerning economic development payments in a manner prescribed by the executive director. (*Indiana Gaming Commission; 68 IAC 1-3-2; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2648; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Nov 21, 2012, 7:09 a.m.: 20121219-IR-068120055FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-3-3 Requirement for satisfactory progress toward completion of economic development activities (Repealed)**

Sec. 3. (*Repealed by Indiana Gaming Commission; filed Nov 21, 2012, 7:09 a.m.: 20121219-IR-068120055FRA*)

#### **68 IAC 1-3-4 Method of payment**

Authority: IC 4-33-4

Affected: IC 4-33-23-13

Sec. 4. Economic development payments from a development provider to a party or a specified recipient may be made via direct deposit or other electronic funds transfer method, directly from the development provider's account into the separate and segregated bank account required by IC 4-33-23-13. (*Indiana Gaming Commission; 68 IAC 1-3-4; filed Nov 21, 2012, 7:09 a.m.: 20121219-IR-068120055FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-3-5 Duty to notify**

Authority: IC 4-33-4

Affected: IC 4-33-23-14

Sec. 5. (a) Specified recipients and parties that are not development providers shall submit to the commission a report containing the following:

- (1) The name and address of the bank that holds the separate and segregated bank account required by IC 4-33-23-14.
- (2) The account number of the separate and segregated bank account required by IC 4-33-23-14.
- (3) A list of persons with signature authority on the separate and segregated bank account.

(b) Specified recipients and parties that are not development providers are under a continuing duty to notify the commission of a change in the information required by subsection (a) within thirty (30) days of the change.

(c) A nonprofit has a continuing duty to notify the commission of changes in its conflict of interest statement or its bylaws within thirty (30) days of the change. (*Indiana Gaming Commission; 68 IAC 1-3-5; filed Nov 21, 2012, 7:09 a.m.: 20121219-IR-068120055FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-3-6 Deviation from provisions**

Authority: IC 4-33-4  
Affected: IC 4-33-23

Sec. 6. (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.

(b) If a development provider, specified recipient, unspecified recipient, or party to a development agreement wishes to request a deviation from the provisions of this rule or IC 4-33-23, they shall do so in writing. (*Indiana Gaming Commission; 68 IAC 1-3-6; filed Nov 21, 2012, 7:09 a.m.: 20121219-IR-068120055FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**Rule 4. Contracts**

**68 IAC 1-4-1 Purchasing system**

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

Sec. 1. (a) This rule applies to casino licensees and casino license applicants.

(b) As used in this rule, "related party" means one (1) of the following:

- (1) An individual or business entity having a pecuniary interest in a casino licensee, a casino license applicant, or an affiliate thereof if the casino licensee, casino license applicant, or affiliate is not a publicly held company.
- (2) A holder of more than five percent (5%) of the outstanding shares of a casino licensee, a casino license applicant, or an affiliate thereof if the casino licensee, casino license applicant, or affiliate is a publicly held company.
- (3) A key person of a casino licensee, a casino license applicant, or an affiliate thereof.
- (4) An affiliate of a casino licensee or a casino license applicant.
- (5) A relative of a holder of more than five percent (5%) of the outstanding shares of a casino licensee, a casino license applicant, or an affiliate thereof if the casino licensee, casino license applicant, or affiliate is a publicly held company.
- (6) A relative of a key person of a casino licensee, a casino license applicant, or an affiliate thereof.
- (7) A relative of an affiliate of a casino licensee or a casino license applicant.
- (8) A trust for the benefit of or managed by a casino licensee, a casino license applicant, or an affiliate or a key person thereof.
- (9) Another person who is able to control or significantly influence the management or operating policies of a casino licensee, a casino license applicant, or an affiliate thereof.

(c) The executive director or an agent of the commission may review a contract or transaction entered into by a casino licensee or casino license applicant upon demand. The contract may be reviewed at the casino or the appropriate office, or the casino licensee or casino license applicant may be required to submit a copy of a contract to the commission office in Indianapolis, Indiana.

(d) A contract or transaction entered into by a casino licensee or casino license applicant shall contain a provision indicating that the commission may subsequently disapprove the contract. (*Indiana Gaming Commission; 68 IAC 1-4-1; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1015; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)



**68 IAC 1-4-2 Policy**

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

Sec. 2. (a) The commission is required to maintain the integrity of the commission and casino gambling. Casino licensees and casino license applicants must encourage confidence in the commission and the casino gambling industry by maintaining high standards of honesty, integrity, and impartiality. Casino licensees and casino license applicants shall:

- (1) promote this policy by entering into contracts and transactions in accordance with IC 4-33, IC 4-35, and this title; and
- (2) be held accountable for the contracts or transactions entered into under this rule.

(b) The commission is not undertaking the policy of approving contracts, but will maintain oversight over contracts and transactions entered into by casino licensees and casino license applicants. The commission reserves the right to disapprove and cancel a contract or transaction that does not:

- (1) comply with IC 4-33, IC 4-35, or this title; or
- (2) maintain the integrity of the casino gambling industry.

*(Indiana Gaming Commission; 68 IAC 1-4-2; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1016; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-4-3 Prohibited contracts**

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

Sec. 3. (a) No casino licensee or casino license applicant may enter into or perform a contract or transaction in which the casino licensee or casino license applicant transfers or receives consideration that is not commercially reasonable or does not reflect the fair market value of the goods or services rendered or received as determined at the time that the contract is executed.

(b) A contract or transaction entered into by a casino licensee or a casino license applicant that exceeds the total dollar amount of fifty thousand dollars (\$50,000) shall be a written contract.

(c) A contract or transaction entered into by a casino licensee or a casino license applicant shall comply with IC 4-33, IC 4-35, and this title. *(Indiana Gaming Commission; 68 IAC 1-4-3; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1016; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-4-4 Normal purchasing transactions**

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

Sec. 4. (a) The casino licensee or casino license applicant shall submit an internal control procedure regarding purchasing transactions in accordance with 68 IAC 11-1.

(b) The internal control procedure shall include a statement of policy regarding ethical standards and compliance with state and federal laws. The statement shall prohibit purchasing and contracting personnel from accepting gifts and gratuities from suppliers of goods or services except in accordance with a written policy submitted with the internal control procedures.

(c) The internal control procedures submitted shall include, but not be limited to, the following information:

- (1) The manner in which purchase requisitions will be issued.
- (2) The amounts that can be authorized by various positions or level of personnel.
- (3) Requirements for the competitive bidding process, including the number of bids required.
- (4) Procedures for issuing and approving blanket purchase orders.
- (5) Procedures and approval regarding emergency purchases.
- (6) Criteria for qualifying approved vendors of goods or services based on such factors as the following:
  - (A) Quality of the product or service to be provided.

(B) Suitability of the vendor of the goods or services.

(C) Price.

(D) Any other criteria the commission deems necessary to ensure compliance with IC 4-33, IC 4-35, and this title.

(7) Documentation that goods or services acquired were obtained on the basis of fair market value or for a price that is commercially reasonable considering the criteria set forth in subdivision (6).

(8) Procedures and approval process for the acquisition of goods or services that are unique and not part of the normal competitive bid process.

(9) Procedures to ensure that vendor files maintained by the casino licensee or casino license applicant contain the forms, documentations, and approvals required by the internal control procedures.

(10) A prohibition against the purchase or lease of gaming equipment or supplies from other than a supplier that is licensed under 68 IAC 2-2.

(11) Procedures for the approval of contracts or transactions in an amount greater than fifty thousand dollars (\$50,000).

(12) The minimum dollar amount of contracts or transactions with one (1) vendor in a twelve (12) month period that require approval by the board of directors, owner, or their designee. This amount shall not be more than one hundred fifty thousand dollars (\$150,000).

(13) A written policy regarding the acceptance of gifts or gratuities by purchasing and contracting personnel from suppliers of goods or services.

(14) Any other procedure the commission deems necessary to ensure compliance with IC 4-33, IC 4-35, and this title.

*(Indiana Gaming Commission; 68 IAC 1-4-4; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1016; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-4-5 Related party transactions**

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

Affected: IC 4-33; IC 4-35

Sec. 5. (a) Related party transactions are those between a casino licensee or a casino license applicant and at least one (1) of the following:

(1) A related party.

(2) A relative.

(3) A dependent.

(b) Unless otherwise directed by the executive director, the internal control procedures for disclosure and approval of related party contracts or transactions do not apply to the following transactions:

(1) Transactions between a casino licensee or a casino license applicant and a supplier licensee.

(2) The payment of dividends to shareholders.

(3) Scheduled repayments of related party debt.

(c) A related party transaction shall comply with the internal control procedures set forth in section 4 of this rule and the following provisions:

(1) A related party transaction or series of related transactions reasonably anticipated to exceed fifty thousand dollars (\$50,000) in a twelve (12) month period shall be subject to approval by the board of directors, the owner, or a designee of the equivalent level. The duty to approve related party transactions in an amount greater than fifty thousand dollars (\$50,000) shall not be delegated below this level of personnel.

(2) A written favorable fairness opinion from a reputable and independent organization knowledgeable in the area and approved by the executive director or the commission must be provided prior to execution for the related party contracts, transactions, or series of transactions expected to exceed five million dollars (\$5,000,000) unless otherwise directed by the executive director.

*(Indiana Gaming Commission; 68 IAC 1-4-5; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1017; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-4-6 Due diligence**

Authority: IC 4-33-4; IC 4-35-4  
Affected: IC 4-33-7-3; IC 4-35

Sec. 6. The casino licensee or casino license applicant shall perform due diligence to ensure that each person that the casino licensee or casino license applicant enters into a contract or transaction with meets the requirements set forth in IC 4-33-7-3 and 68 IAC 2-2. (*Indiana Gaming Commission; 68 IAC 1-4-6; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1017; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-4-7 Compliance**

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

Sec. 7. The commission reserves the right to terminate a contract that is not in compliance with IC 4-33, IC 4-35, and this title. (*Indiana Gaming Commission; 68 IAC 1-4-7; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1017; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-4-8 Automatic contract submissions (Repealed)**

Sec. 8. (*Repealed by Indiana Gaming Commission; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA*)

**68 IAC 1-4-9 Trade secrets**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33; IC 5-14-3

Sec. 9. Materials, or portions of materials, submitted under this rule may be identified as confidential trade secrets, as defined by IC 5-14-3, of the licensee or applicant for a license or of any other person and will be disclosed by the commission only in accordance with the requirements of law. (*Indiana Gaming Commission; 68 IAC 1-4-9; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1018; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-4-10 Violation of rule**

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

Sec. 10. If the commission determines that a casino licensee or casino license applicant has violated this rule, the commission may initiate an investigation and disciplinary action under 68 IAC 13. (*Indiana Gaming Commission; 68 IAC 1-4-10; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1018; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-4-11 Deviation from provisions**

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

Sec. 11. (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 1-4-11; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1018; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-4-12 Reports by the executive director**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33; IC 5-14-1.5-6.1

Sec. 12. The executive director shall report, to the commission, any action he or she has taken or contemplates taking under this rule with respect to contracts at a meeting held under 68 IAC 2-1-5 or an executive session held under IC 5-14-1.5-6.1. The commission may direct the executive director to take additional or different action. (*Indiana Gaming Commission; 68 IAC 1-4-12; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1018; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

### **Rule 5. General Reporting Requirements**

#### **68 IAC 1-5-1 Obligation to report certain events**

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

Sec. 1. A casino or supplier licensee shall provide a written notice to the executive director as soon as the casino or supplier licensee becomes aware of the following:

- (1) A violation or apparent violation of a rule of the commission by any of the following:
  - (A) The casino or supplier licensee.
  - (B) A substantial owner, key person, or employee of the casino or supplier licensee.
  - (C) A person acting, or authorized to act, on behalf of or in furtherance of the interests of the casino or supplier licensee or an affiliate of the licensee.
- (2) A change in status of an owner's license, supplier's license, or the equivalent issued to the casino or supplier licensee, or an affiliate by any other governmental entity.
- (3) Civil litigation filed against the:
  - (A) casino or supplier licensee's Indiana operations; or
  - (B) casino or supplier licensee that could significantly impact the casino or supplier licensee's Indiana operations.
- (4) A criminal, civil, or administrative action, threatened action, or investigation initiated by any governmental entity against the casino or supplier licensee.
- (5) Claims made by a governmental entity concerning the tax liability of a casino or supplier licensee or a key person or substantial owner of the casino or supplier licensee.
- (6) A civil, criminal, administrative, or tax action initiated:
  - (A) by or against an employee of the casino licensee if the action relates to the gaming activity conducted by the casino licensee; or
  - (B) against a key person, substantial owner, or an affiliate of a casino or supplier licensee, if the action relates to a gaming operation under the jurisdiction of a governmental entity.
- (7) A bankruptcy, receivership, or debt adjustment initiated by or against the casino or supplier licensee or an affiliate thereof or the licensee's substantial owners.

(8) A compliance review conducted by the Internal Revenue Service under the Bank Secrecy Act of 1970. The casino or supplier licensee must provide a copy of the compliance review report or the equivalent within ten (10) days of the receipt of the report by the licensee.

(9) An action, event, or nonevent, with respect to which the executive director has instructed the licensee to provide notice so that the executive director can ensure that the licensee continues to maintain suitability for licensure.

(10) Apparent criminal activity taking place at the casino. A casino licensee shall submit the notice required under this subdivision to a gaming agent in addition to submitting it to the executive director.

*(Indiana Gaming Commission; 68 IAC 1-5-1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2649; filed Apr 19, 1996, 3:00 p.m.: 19 IR 2247; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Sep 30, 2004, 11:00 a.m.: 28 IR 532; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-5-2 Applicant's obligation to report certain events**

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

Affected: IC 4-33; IC 4-35

Sec. 2. An applicant for a license is required to provide a written notice to the commission under the same circumstances as apply to a licensee in section 1 of this rule. *(Indiana Gaming Commission; 68 IAC 1-5-2; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2649; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-5-3 Contents of notice and supplementation requirement**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 3. The written notice required under this rule shall provide such detail as is reasonably required to describe the reported event and shall be supplemented at such times and in such detail as may be requested by the executive director. *(Indiana Gaming Commission; 68 IAC 1-5-3; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2649; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-5-4 Deviation from provisions**

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

Affected: IC 4-33; IC 4-35

Sec. 4. (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 requirement or procedure:
  - (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 1-5-4; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

### **Rule 6. Appearance by Attorneys or Representatives for Hearings and Reviews**

**68 IAC 1-6-1 Eligibility to appear and scope of practice**

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

Affected: IC 4-21.5-3-15; IC 4-33-4-7; IC 4-35-4-9

Sec. 1. (a) No person shall be eligible to practice before the commission unless the person has appeared in accordance with this title. An individual may appear on his or her own behalf, a partnership may be represented by a partner, and a party may be represented by a representative in accordance with IC 4-21.5-3-15.

(b) Practice before the commission shall include all matters before the commission, including, but not limited to, applications, licensing, and other matters pertinent to the hearing or review, including, but not limited to, the preparation of pleadings and motions, settlement offers, subpoenas, depositions, oral arguments, presentation of the case, and other documents or material presented to the commission.

(c) Only individual attorneys may file appearances. An attorney who has not filed an appearance may not address the hearing or review officer or sign pleadings or offers of settlement.

(d) Attorneys who appear in a representative capacity on behalf of a petitioner or a subject of exclusion under IC 4-33-4-7, IC 4-35-4-9, and 68 IAC 6 must file written notice of appearance setting forth the following:

(1) The name, address, and telephone number of the attorney.

(2) The name and address of the petitioner or subject of exclusion represented.

(3) An affirmative statement indicating that the attorney is licensed in Indiana and setting forth the attorney's number.

A representative of a petitioner or a subject of exclusion that is not an attorney must set forth the information requested in subdivisions (1) and (2).

(e) A member in good standing of the bar of the highest court of any state or of any United States District Court may, upon admission by the Indiana supreme court under Indiana Admission and Discipline Rule 3, section 2, be permitted to argue or conduct a hearing in whole or in part upon a condition the commission may impose, including filing the order of the Indiana supreme court with the commission.

(f) The commission may require an attorney or representative appearing before it to:

(1) disclose the identity of the person the attorney or representative represents; and

(2) present proof that the attorney or representative is authorized to act on the client's behalf.

(g) An attorney may only withdraw his or her appearance upon written notice to the hearing officer. (*Indiana Gaming Commission; 68 IAC 1-6-1; filed Nov 10, 1994, 11:00 a.m.: 18 IR 480; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-6-2 Suspension and revocation of ability to practice before commission**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33-3-23; IC 4-33-4-17

Sec. 2. (a) An attorney's ability to practice before the commission shall be automatically suspended without a hearing if the attorney's professional license is suspended or revoked.

(b) An attorney practicing before the commission may have his or her ability to appear suspended or revoked if, after a hearing, the commission finds the following:

(1) The attorney made a materially false or misleading statement in the attorney's written notice of appearance.

(2) The attorney willfully failed to exercise due diligence in the preparation or presentation of any motion, documents, or other matter related to the case filed with or presented to the review officer, hearing officer, or commission, or knowingly misrepresented a material fact to the review officer, hearing officer, or commission.

(3) The attorney willfully violated or aided and abetted another in the violation of any provision of the Act or this title.

(4) The attorney:

(A) does not possess the requisite qualifications or expertise to represent others before the commission;

(B) lacks character and integrity; or

(C) has engaged in unethical or improper conduct.

(5) For any other action or reason that the commission deems necessary to warrant suspension or revocation of an attorney's ability to practice before the commission.

(c) The commission may refer an attorney to the appropriate disciplinary commission or agency if the attorney engaged in any action listed in subsection (b). (*Indiana Gaming Commission; 68 IAC 1-6-2; filed Nov 10, 1994, 11:00 a.m.: 18 IR 480; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-6-3 Reinstatement**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33-3-23; IC 4-33-4-17

Sec. 3. (a) An attorney whose ability to appear is suspended or revoked under subsection 2(a) of this rule [*sic.*, *section 2(a) of this rule*] shall automatically be reinstated to practice before the review officer, hearing officer, or commission at the time the attorney's professional license is reinstated.

(b) An attorney whose ability to appear is suspended or revoked under section 2 of this rule may be reinstated by the commission upon a showing of good cause. An applicant for reinstatement shall be afforded a hearing before the commission upon application. The commission may require that the applicant for reinstatement pay the reasonable costs of the proceeding.

(c) If the commission referred an attorney to a disciplinary commission or agency under section 2 of this rule, the attorney shall not be reinstated to practice before the commission before any disciplinary action initiated as a result of the referral has been completed. (*Indiana Gaming Commission; 68 IAC 1-6-3; filed Nov 10, 1994, 11:00 a.m.: 18 IR 481; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-6-4 Effect of representation; service**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-21.5-3-1; IC 4-33-3-23; IC 4-33-4-17

Sec. 4. (a) A person represented before the commission by an attorney or representative under this rule shall be bound by the acts or omissions of the attorney or representative to the same extent as if the person had acted or failed to act personally.

(b) In any appearance by an attorney or representative at any hearing or meeting of the commission, the client is deemed to have waived all privileges with respect to any information in the possession of the attorney or representative, or any testimony by the attorney or representative except for privileges afforded by the constitution or laws of Indiana, the rules of the Indiana supreme court, or the constitution or laws of the United States, where applicable.

(c) Service shall be made in accordance with IC 4-21.5-3-1. (*Indiana Gaming Commission; 68 IAC 1-6-4; filed Nov 10, 1994, 11:00 a.m.: 18 IR 481; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-6-5 Obligations of truthfulness and due diligence**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-21.5-3; IC 4-33-3-23; IC 4-33-4-17

Sec. 5. (a) Attorneys or representatives appearing before the review officer, hearing officer, or commission shall not be intentionally untruthful, nor withhold any information that the review officer, hearing officer, or commission is entitled to receive, nor interfere with any lawful effort by the commission to obtain such information.

(b) Attorneys or representatives shall exercise due diligence in preparing or assisting in the preparation of documents for submission to the review officer, hearing officer, or commission.

(c) An attorney or representative appearing under this rule has a continuing responsibility on behalf of the attorney's or representative's client to monitor the accuracy and completeness of information submitted to the commission in any matters pertaining to the attorney's or representative's appearance on behalf of the client. To the extent not in conflict with the attorney-

client privilege, whenever, during the pendency of an action or matter, an attorney of record becomes aware that information furnished to the commission is no longer accurate and complete in any material respect, the attorney shall promptly supplement or correct the information. (*Indiana Gaming Commission; 68 IAC 1-6-5; filed Nov 10, 1994, 11:00 a.m.: 18 IR 481; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-6-6 Knowledge of client's omission**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-21.5-3; IC 4-33-3-23; IC 4-33-4-17

Sec. 6. (a) An attorney or representative who knows that a client has not complied with the Act or this title, or that a client has made a material error in or a material omission in any information or testimony presented to the review officer, hearing officer, or commission, shall promptly advise his or her client of the fact of the noncompliance, error, or omission.

(b) To the extent not in conflict with the attorney-client privilege, the attorney shall advise the hearing officer, review officer, or commission of the noncompliance, error, or omission. (*Indiana Gaming Commission; 68 IAC 1-6-6; filed Nov 10, 1994, 11:00 a.m.: 18 IR 481; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-6-7 Certification of documents**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-21.5-3-1; IC 4-33-3-23; IC 4-33-4-17

Sec. 7. (a) Every pleading, motion, subpoena, settlement offer, brief, stipulation of fact, or other document prepared or filed on behalf of a client must be signed by the attorney or representative, and the signature shall constitute a certification that the document was prepared in conformity with the requirements of the Act and this title.

(b) An attorney or representative may not verify any document required to be verified by the petitioner. (*Indiana Gaming Commission; 68 IAC 1-6-7; filed Nov 10, 1994, 11:00 a.m.: 18 IR 481; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**Rule 7. Weapons**

**68 IAC 1-7-1 Weapons in the casino**

Authority: IC 4-33-4; IC 4-35-4  
Affected: IC 4-33-8; IC 4-35-6.5; IC 35-41-1-17

Sec. 1. (a) The following definitions apply throughout this rule:

(1) "Federal enforcement officer" has the meaning set forth in IC 35-41-1-17, or means a law enforcement officer as defined in 5 U.S.C. 8331(2), or both.

(2) "Law enforcement officer" has the meaning set forth in IC 35-41-1-17.

(3) "Security personnel" means an employee of the casino licensee or a supplier licensee who:

(A) holds the appropriate level of occupational license under IC 4-33-8 or IC 4-35-6.5, and 68 IAC 2-3; and

(B) is employed in the casino licensee's security department or by a supplier licensee that contractually provides security services to a casino licensee.

(b) An enforcement agent may carry a weapon in the casino. A law enforcement officer or a federal enforcement officer:

(1) whose sole purpose for being in the casino is the performance of official duties; and

(2) who has advised the enforcement agent or the commission that the officer will be in the casino;

shall be allowed to carry a weapon in the casino.

(c) The casino licensee shall post a sign in a prominent place at the point of passenger ingress stating, "No weapons are



allowed beyond this point. Failure to comply with this rule may result in immediate removal from the casino, immediate detention by security personnel, the imposition of civil penalties, or exclusion under applicable law."

(d) The casino licensee shall provide a secure place to which patrons do not have access to store weapons checked by:

- (1) patrons;
- (2) off duty law enforcement officers; or
- (3) off duty federal enforcement officers.

(e) Security personnel may carry a weapon in the casino during times that patrons are not present. (*Indiana Gaming Commission; 68 IAC 1-7-1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2649; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 18, 2006, 1:16 p.m.: 20070117-IR-068060190FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

### **68 IAC 1-7-2 Deviation from provisions**

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

Affected: IC 4-33; IC 4-35

Sec. 2. (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 requirement or procedure:
  - (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 1-7-2; filed Dec 18, 2006, 1:16 p.m.: 20070117-IR-068060190FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

## **Rule 8. Support Facility Standards**

### **68 IAC 1-8-1 Applicability**

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

Affected: IC 4-33; IC 4-35

Sec. 1. This rule applies to a casino licensee or casino license applicant. (*Indiana Gaming Commission; 68 IAC 1-8-1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2650; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

### **68 IAC 1-8-2 Compliance with other requirements**

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

Affected: IC 4-33; IC 4-35

Sec. 2. The facilities used by a casino licensee or proposed by a casino license applicant to support casino gambling operations shall be constructed and maintained in accordance with the applicable federal, state, and local statutes, rules, and regulations, including, but not limited to, those pertaining to safety and accessibility. (*Indiana Gaming Commission; 68 IAC 1-8-2; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2650; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-8-3 Submission of support facility building documents**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 3. Upon the request of the executive director, artists' renderings and architectural and engineering drawings of the support facilities shall be submitted to the executive director not less than thirty (30) days prior to the initiation of construction activities unless the drawings were approved during the application process. Support facilities shall be constructed in accordance with approved renderings and drawings submitted. (*Indiana Gaming Commission; 68 IAC 1-8-3; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2650; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-8-4 Notice of intention to seek variances or waivers**

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

Sec. 4. A casino licensee or an applicant for a casino license may not obtain a variance from a statute or rule concerning facility safety or accessibility without providing the executive director with a notice of its intention to seek the variance no less than fourteen (14) days prior to presenting the request for the variance to the official or governing body empowered to make a final decision on the request. (*Indiana Gaming Commission; 68 IAC 1-8-4; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2650; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**Rule 9. Commission Facilities**

**68 IAC 1-9-1 Applicability; definitions**

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

Sec. 1. (a) This rule shall apply to a casino licensee.

(b) The following definitions apply throughout this rule:

(1) "Central computer system" means one (1) or more computer systems that meet the following requirements:

(A) Is connected to the electronic gaming devices in the casino to record and monitor the activities of the electronic gaming devices, including, but not limited to, the following or the equivalent:

- (i) The opening of a door of the electronic gaming device.
- (ii) Hopper credits and fills.
- (iii) Last game recount for a minimum of five (5) games.
- (iv) Drop bucket collection.

(B) Is capable of monitoring the activities of the live gaming devices, including, but not limited to, the following or the equivalent:

- (i) Table fills.
- (ii) Table credits.
- (iii) Table game inventories.
- (iv) Employee gratuity deposit accounting.

(C) Is capable of monitoring the activities of the main bank and cages, including, but not limited to, the following or the equivalent:

- (i) Manual payouts.
- (ii) Hopper credits and hopper fills.
- (iii) Table credits and fills.
- (iv) Hard and soft count summary log.

- (v) Master gaming report.
- (vi) Cashier checkout.
- (vii) Main bank and cage inventory.
- (viii) Deposits.
- (ix) Cash transaction reports.
- (x) Patron credit.

(D) Is capable of monitoring the casino licensee's accounting package.

(2) "Interim compliance period" means the period of time between the issuance of a certificate of suitability and the issuance of a permanent casino owner's license or the issuance of a notice of denial.

(c) A casino licensee shall provide a commission surveillance room in the casino. The commission surveillance room shall be for the exclusive use of the commission and enforcement agents.

(d) A casino licensee shall provide the following:

(1) A commission office at the support facilities. The commission office at the support facilities shall be for the exclusive use of the commission and enforcement agents.

(2) A processing area at the support facilities. The processing area:

(A) shall be for the exclusive use of the commission and enforcement agents; and

(B) may be in the same location as the office provided in subdivision (1).

(3) A commission office inside the casino. The commission office inside the casino:

(A) shall be for the exclusive use of the commission and enforcement agents; and

(B) may be in the same location as the room provided under subsection (c).

(e) A casino license applicant shall submit the plans for the commission surveillance room, commission offices, and processing area to the executive director for approval as to size and design during the interim compliance period. The executive director shall approve the plans for the commission surveillance room, commission offices, and processing area, in writing, within thirty (30) days of receipt of the plans.

(f) The casino licensee or casino license applicant shall provide a minimum of five (5) parking spaces for use by the commission and enforcement agents in close proximity to the casino.

(g) The casino licensee shall:

(1) be responsible for providing the on-site and off-site repair of computer and related equipment; and

(2) in a timely manner, provide replacement equipment approved by the executive director or the executive director's designee when deemed necessary by the executive director or the executive director's designee to ensure compliance with IC 4-33, IC 4-35, and this title.

*(Indiana Gaming Commission; 68 IAC 1-9-1; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2650; filed Dec 29, 1998, 10:48 a.m.: 22 IR 1424; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-9-2 Commission surveillance room**

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

Affected: IC 4-33; IC 4-35

Sec. 2. (a) The commission surveillance room shall meet the following requirements:

(1) Be of sufficient size to accommodate two (2) individuals and the equipment listed in subsection (b).

(2) Be in a location approved by the executive director.

(3) The interior of the commission surveillance room shall not be visible to the patrons or employees of the casino licensee.

(4) Have locks that are not accessible with keys that open any other door within the casino gambling operation. Only the commission, enforcement agents, and the master shall possess keys that access the commission surveillance room. The master shall use the keys to the commission surveillance room only in the event of an emergency.

(5) Be furnished with office furniture sufficient to accommodate two (2) individuals.

(b) The casino licensee shall equip the commission surveillance room with the following:

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- (1) A personal computer with view and print access to all of the casino licensee's computer equipment inside the casino, including, but not limited to, the following:
  - (A) Player tracking system.
  - (B) Patron credit system.
  - (C) Central computer system.
- (2) The personal computer shall be equipped with the following:
  - (A) Offline word processing capabilities that are compatible with the commission computer system.
  - (B) Sufficient hard drive space to store recordings of multiple incidents at a given time.
  - (C) The capability to capture a still photograph and save it electronically.
- (3) A printer attached to the personal computer described in subdivision (1).
- (4) A display screen or screens having the capability to show the live feed of three (3) surveillance cameras, at a minimum. A display screen must meet the following requirements:
  - (A) The resolution must be of the same or higher quality of those used in the licensee's surveillance room.
  - (B) At least one (1) of the live feed displays must be in color.
- (5) The surveillance system must be equipped to record and play back videotapes and digital recordings. The recording and playback equipment shall be of equal or better quality than the recording and playback equipment used in the surveillance room.
- (6) The surveillance system must be capable of monitoring or recording, or both, without being overridden, anything visible by video monitor or display screen to employees of the casino licensee working in the casino's surveillance room.
- (7) A printer capable of generating instantaneously, upon command, a clear color or black and white, or both, copy of the image depicted on a recording.
- (8) A date and time generator synchronized to a central clock capable of being displayed on any of the display screens and being recorded.
- (9) A separate and segregated telephone communication system for the exclusive use of the enforcement agents.
- (10) A telephone communication system that is integrated with the casino telephone system.
- (11) At least two (2) portable radios that have listen and talk capabilities that can monitor the casino radio systems, including the casino licensee's security radio system.
- (12) A computer system that will immediately notify enforcement agents of access to or egress from the following:
  - (A) The surveillance room.
  - (B) The hard count room.
  - (C) The soft count room.
  - (D) Cages.
  - (E) Vaults.
  - (F) Any other room or area of the casino deemed necessary by the executive director to ensure compliance with IC 4-33, IC 4-35, and this title.
- (13) A fireproof, lockable file cabinet. Only the commission and enforcement agents shall have keys that access the file cabinet in the casino commission surveillance room.
- (14) Any other equipment deemed necessary by the executive director to ensure compliance with IC 4-33, IC 4-35, and this title.

*(Indiana Gaming Commission; 68 IAC 1-9-2; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2651; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-9-3 Commission office**

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

Sec. 3. (a) The commission office at the support facilities shall meet the following requirements:

- (1) Be of sufficient size to accommodate two (2) individuals, the equipment listed in subsection (b), and the processing room described in section 4 of this rule.
- (2) Be in close proximity to the administrative offices or the security offices.
- (3) The interior shall not be visible to the patrons or employees of the casino licensee.
- (4) Have locks that are not accessible with keys that open any other door within the casino gambling operation. Only the commission and enforcement agents shall possess keys that access the commission office.
- (5) Be furnished with office furniture sufficient to accommodate two (2) individuals.
- (b) The commission office shall contain the following equipment:
  - (1) A personal computer with view and print access to all of the casino licensee's computer equipment at the the *[sic]*casino, including, but not limited to, a player tracking system, a patron credit system, and a central computer system. The personal computer must be able to network with the commission computer system and with the processing area computer equipment set forth in section 4 of this rule. The casino licensee is responsible for providing the technical support necessary to ensure that the personal computer in the commission office can network with the commission computer system and the processing area computer equipment. The personal computer must have the following software installed:
    - (A) Operating system software.
    - (B) Word processing software.
    - (C) Electronic mail software.
    - (D) Virus protection software.
    - (E) Any other software deemed necessary by the executive director or the executive director's designee to ensure compliance with IC 4-33, IC 4-35, and this title.

The software programs must be approved by the executive director or the executive director's designee as being sufficient to ensure compliance with IC 4-33, IC 4-35, and this title. The casino licensee is responsible for providing the appropriate licenses and upgrades for a software product.

- (2) A personal computer that is compatible with the commission computer system that can network with the commission computer system and that can network with the processing area computer equipment as set forth in section 4 of this rule. The casino licensee is responsible for providing the technical support necessary to ensure that the personal computer in the commission office can network with the commission computer system and the processing area computer equipment. The personal computer must have the following software installed:
  - (A) Operating system software.
  - (B) Word processing software.
  - (C) Electronic mail software.
  - (D) Virus protection software.
  - (E) Any other software deemed necessary by the executive director or the executive director's designee to ensure compliance with IC 4-33, IC 4-35, and this title.

The software programs must be approved by the executive director or the executive director's designee as being sufficient to ensure compliance with IC 4-33, IC 4-35, and this title. The casino licensee is responsible for providing the appropriate licenses and upgrades for a software product.

- (3) A stand-alone high speed printer that can be networked and shared by all personal computers contained in the commission office and processing area.
- (4) A display screen or screens that meet the following requirements:
  - (A) The resolution must be of the same or higher quality as those used in the surveillance room.
  - (B) At least one (1) display screen must be color.
  - (C) The display screen must be connected to equipment that can record and play back videotapes or digital recordings. The recording and playback equipment shall be of equal or better quality than the recording and playback equipment used in the casino's surveillance room.
  - (D) The video monitors must be connected to equipment that is capable of the following:
    - (i) Monitoring or recording, or both, without being overridden, anything visible by video monitor to employees of the casino licensee at the support facilities.
    - (ii) Monitoring and recording, without being overridden, anything visible to employees of the casino licensee

working in the surveillance room in the casino.

- (5) A printer capable of generating instantaneously, upon command, a clear color or black and white, or both, copy of the image depicted on a recording.
- (6) A date and time generator synchronized to a central clock capable of being displayed on any of the display screens and being recorded.
- (7) A separate and segregated telephone communication system for the exclusive use of the enforcement agents.
- (8) A telephone communication system that is integrated with the casino licensee's telephone system.
- (9) At least one (1) portable radio that has listen and talk capabilities that can monitor the casino radio systems, including the casino licensee's security radio system.
- (10) A computer system that will immediately notify enforcement agents of access to or egress from a money retention area located at the support facilities and access to or egress from the following:
  - (A) The surveillance room.
  - (B) The hard count room.
  - (C) The soft count room.
  - (D) Cages.
  - (E) Vaults.
  - (F) Any other room or area of the casino deemed necessary by the executive director to ensure compliance with IC 4-33, IC 4-35, and this title.
- (11) A fireproof, lockable file cabinet. Only the commission and enforcement agents shall have keys that access the file cabinet in the commission surveillance room.
- (12) A commercial grade photocopier.
- (13) A facsimile machine.
- (14) Any other equipment deemed necessary by the executive director to ensure compliance with IC 4-33, IC 4-35, and this title.

*(Indiana Gaming Commission; 68 IAC 1-9-3; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2652; errata filed Aug 17, 1995, 1:30 p.m.: 19 IR 42; filed Jan 30, 1998, 11:00 a.m.: 21 IR 2055; filed Dec 29, 1998, 10:48 a.m.: 22 IR 1425; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; errata filed Jan 10, 2013, 2:54 p.m.: 20130130-IR-068110786ACA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-9-4 Processing area**

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

Affected: IC 4-33; IC 4-35; IC 5-22

Sec. 4. (a) There shall be separate space at the support facilities to allow enforcement agents to process applicants for occupational licenses. This space shall meet the following requirements:

- (1) Be of sufficient size to allow the processing of multiple applicants for occupational licenses.
- (2) Be in direct proximity to the commission office.
- (b) The casino licensee shall equip the processing area with an integrated computer system that meets the following requirements:
  - (1) Is capable of the following:
    - (A) Recording background data.
    - (B) Taking digital ten (10) print live-scan fingerprints that meet the requirements of the Federal Bureau of Investigation.
  - (2) Contains a digital photograph system, including a camera and related equipment to produce identification cards bearing the following:
    - (A) A photograph at least three-fourths (3/4) of an inch square.
    - (B) The information set forth in 68 IAC 2-3-6.
  - (3) Is capable of reading a magnetic stripe as described in 68 IAC 2-3-6.

(4) The casino licensee or casino license applicant shall purchase the integrated computer system from a vendor chosen in accordance with IC 5-22 and 25 IAC. This system shall be the property of the commission.

(c) The casino licensee shall equip the processing area with a personal computer that will allow enforcement agents to access and maintain the occupational licensee database. The personal computer must have the following software installed:

- (1) Operating system software.
- (2) Word processing software.
- (3) Electronic mail software.
- (4) Virus protection software.
- (5) Occupational license database software.
- (6) Any other software deemed necessary by the executive director or the executive director's designee to ensure compliance with IC 4-33, IC 4-35, and this title.

The software programs must be approved by the executive director or the executive director's designee as being sufficient to ensure compliance with IC 4-33, IC 4-35, and this title. The casino licensee is responsible for providing the appropriate licenses and upgrades for a software product.

(d) The casino licensee shall be responsible for providing the upgrades to the integrated computer system that are deemed necessary by the commission to ensure compliance with IC 4-33, IC 4-35, and this title. (*Indiana Gaming Commission; 68 IAC 1-9-4; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2653; filed Jan 30, 1998, 11:00 a.m.: 21 IR 2055; filed Dec 29, 1998, 10:48 a.m.: 22 IR 1427; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

#### **68 IAC 1-9-5 Deviation from provisions**

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

Affected: IC 4-33; IC 4-35

Sec. 5. (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 1-9-5; filed Jun 23, 1995, 2:30 p.m.: 18 IR 2653; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

### **Rule 10. Floor Plans**

#### **68 IAC 1-10-1 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 casino licensees.

(b) Casino licensees or casino license applicants must submit a floor plan or floor plans outlining the decks or floors of the casino gambling operation and the location, number, or position of each electronic gaming device and live gaming device. The floor plan or floor plans must be submitted, in accordance with 68 IAC 17-1-2(d), to the executive director at least twenty (20) days before the commencement of gambling operations.

(c) The casino licensee must do the following:

(1) Notify the executive director and an enforcement agent at least five (5) days before using a floor plan that has previously been submitted to the executive director.

(2) Submit amendments to the floor plan or floor plans to the executive director at least five (5) days before the amendment is used.

(3) Provide the information in subdivision (2) to the enforcement agent.

*(Indiana Gaming Commission; 68 IAC 1-10-1; filed Jul 18, 1996, 9:05 a.m.: 19 IR 3290; filed Jul 18, 1996, 9:05 a.m.: 19 IR 3290; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-10-2 Compliance with rule**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 2. Failure to comply with this rule may result in the initiation of a disciplinary action under 68 IAC 13. *(Indiana Gaming Commission; 68 IAC 1-10-2; filed Jul 18, 1996, 9:05 a.m.: 19 IR 3290; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-10-3 Deviation from provisions**

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

Affected: IC 4-33; IC 4-35

Sec. 3. (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 1-10-3; filed Jul 18, 1996, 9:05 a.m.: 19 IR 3290; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-10-4 Reports by the executive director**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3

Affected: IC 4-33

Sec. 4. The executive director shall report any action he or she has taken or contemplates taking under this rule to the commission at the next meeting held under 68 IAC 1-2-5. The commission may direct the executive director to take additional or different action. *(Indiana Gaming Commission; 68 IAC 1-10-4; filed Jul 18, 1996, 9:05 a.m.: 19 IR 3290; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

### **Rule 11. Gaming Area**



**68 IAC 1-11-1 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 casino licensees.

(b) For purposes of this rule, all areas of a casino shall be considered an area where gambling is being conducted.

(c) A person under twenty-one (21) years of age shall not be present in a casino. (*Indiana Gaming Commission; 68 IAC 1-11-1; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3319; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-11-2 Compliance with rule**

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

Sec. 2. A casino licensee's failure to comply with this rule may result in the initiation of a disciplinary action under 68 IAC 13. (*Indiana Gaming Commission; 68 IAC 1-11-2; filed Jul 18, 1996, 8:45 a.m.: 19 IR 3319; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**Rule 12. Complimentary Play**

**68 IAC 1-12-1 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 casino licensees.

(b) Casino licensees may, for marketing purposes, provide patrons with coupons or electronic credits, or both, that are redeemable for complimentary play.

(c) Complimentary play shall be distributed only in accordance with this rule. (*Indiana Gaming Commission; 68 IAC 1-12-1; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-12-2 Submission of internal controls for a complimentary play program**

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

Sec. 2. (a) Submission of the internal control procedures concerning complimentary play programs shall be handled in the following manner:

(1) The casino licensee shall submit internal control procedures to the executive director or the executive director's designee at least twenty (20) days prior to the initiation of the program.

(2) The executive director or designee shall, in writing, approve the internal control procedures, in total or in part.

(3) Any portion of the internal control procedures not approved by the executive director or designee shall be revised and resubmitted by the casino licensee within the time frame established by the executive director or the executive director's designee. The casino licensee shall follow this method until all portions of the internal control procedures have been approved or approval cannot be obtained.

(4) The casino licensee may not implement internal control procedures submitted under this section until and unless the internal control procedures have been approved, in writing, by the executive director or the executive director's designee.

(b) If the executive director determines, at any time, that approved internal control procedures are not adequate to ensure compliance with IC 4-33, IC 4-35, and this title, the executive director may direct the casino licensee, in writing, to amend its internal control procedures in accordance with section 3 of this rule. (*Indiana Gaming Commission; 68 IAC 1-12-2; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3297; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-12-3 Amendments to internal control procedures**

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

Sec. 3. Amendments to the internal control procedures with respect to complimentary play programs shall be handled in accordance with 68 IAC 11-1-5 and as follows:

- (1) The casino licensee must submit amendments to the internal control procedures to the executive director at least twenty (20) days prior to the utilization of the amended internal control.
- (2) The executive director or designee shall, in writing, approve the amendment to the internal control procedures, in total or in part.
- (3) The casino licensee may not use an amendment to its internal control procedures until and unless the amendment to the internal control procedures has been approved, in writing, by the executive director or the executive director's designee.

(*Indiana Gaming Commission; 68 IAC 1-12-3; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3297; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; errata filed Jan 10, 2013, 2:54 p.m.: 20130130-IR-068110786ACA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-12-4 Coupon accounting procedures and distribution**

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

Sec. 4. (a) At least two (2) departments must be responsible for administering a coupon-based complimentary play program. One (1) department shall be responsible for storing the coupons, and the other department shall be responsible for issuing the coupons.

(b) Coupons received from a vendor shall be opened and examined by at least two (2) individuals from different departments. Deviations in the coupons ordered and coupons received shall be:

- (1) recorded in compliance with subsection (c); and
  - (2) reported immediately to the appropriate supervisor.
- (c) The casino licensee shall maintain a coupon control ledger on forms approved by the commission. The coupon control ledger shall contain, at a minimum, the following information:
- (1) The date the coupons were received.
  - (2) The type and quantity of coupons received.
  - (3) The beginning serial number of the coupons received.
  - (4) The ending serial number of the coupons received.
  - (5) The purchase order number or requisition number for the coupons received.
  - (6) The signatures and occupational license numbers of the individuals who examined the coupons upon receipt of the coupons.
  - (7) The date the coupons were issued to the distribution department.
  - (8) The beginning serial number of the coupons issued to the distribution department.
  - (9) The ending serial number of the coupons issued to the distribution department.
  - (10) The number and quantity of coupons issued to the distribution department.
  - (11) The balance of unissued coupons on hand.

- (12) The name, title, occupational license number, and signature of the representative issuing the coupons.
- (13) The name, title, occupational license number, and signature of the representative receiving the issued coupons.
- (14) A record of coupons that are distributed to patrons.
- (15) A record and explanation of any deviations noted.
- (d) The department responsible for distributing the coupons shall maintain a daily coupon reconciliation form. One (1) daily coupon reconciliation form shall be completed to account for the individuals responsible for distributing coupons to patrons. The daily coupon reconciliation form shall contain, at a minimum, the following information:
  - (1) The date.
  - (2) The type of coupon being issued.
  - (3) The beginning and ending serial numbers of the coupons the individual has to distribute to patrons.
  - (4) The quantity of coupons the individual has to distribute to patrons.
  - (5) The total number of coupons the individual distributed to patrons.
  - (6) The beginning and ending serial numbers of coupons not distributed to patrons.
  - (7) The total number of coupons not distributed to patrons.
  - (8) The:
    - (A) serial numbers of coupons that were voided; and
    - (B) reason the coupons were voided.
  - (9) The name, title, occupational license number, and signature of the individual distributing the coupons to patrons and completing the form.
  - (10) The name, title, occupational license number, and signature of the supervisor.
  - (11) Variations discovered and an explanation of those variations.
- (e) The internal control procedures concerning a coupon-based complimentary play program shall include, at a minimum, the following information:
  - (1) The departments that will be responsible for administering the program.
  - (2) The security measures that will be taken with respect to the coupons, including, but not limited to, the manner in which:
    - (A) coupons will be ordered;
    - (B) coupons will be inventoried upon receipt by the casino licensee;
    - (C) coupons will be stored, and the individuals who will have access to the coupons;
    - (D) discrepancies will be handled; and
    - (E) coupons will be voided.
  - (3) The department or departments that will be responsible for administering the program.
  - (4) The manner in which the coupons will be distributed.
  - (5) The schedule for conducting routine inventories of active unissued coupons. The inventory shall be conducted monthly by at least two (2) individuals from separate departments. The results of the inventory shall be recorded in the coupon control ledger.
  - (6) The manner in which:
    - (A) coupons will be removed from the inventory, recorded, and voided once the coupons become inactive; and
    - (B) the department responsible for distributing the coupons can requisition coupons from the department responsible for storing the coupons.
  - (7) The maximum number of days in advance of an event that coupons can be requisitioned by the department responsible for issuing the coupons. The requisition document shall contain, at a minimum, the following information:
    - (A) The date the requisition is prepared.
    - (B) The day and date for which the coupons are needed.
    - (C) The type or types of coupons that are requested.
    - (D) The number of coupons required.
    - (E) The name, title, and occupational license number of the individual completing the requisition.
    - (F) The name, title, occupational license number, and signature of the supervisor authorizing the requisition.
  - (8) The following information shall be completed by the department responsible for storing the coupons prior to the coupons being given to the department responsible for distributing the coupons:

- (A) The name, title, occupational license number, and signature of the representative filling the order.
- (B) The beginning serial number of the coupons issued.
- (C) The ending serial number of coupons issued.
- (D) The total number of and type of coupons issued.
- (E) The name, title, occupational license number, and signature of the supervisor.
- (F) A record and explanation of coupons that were voided due to discrepancies.

The information in clauses (B) through (D) shall be entered in the coupon control ledger.

- (9) The manner in which the coupons will be issued. Coupons shall be stamped with the date of issuance.
- (10) The location of the locked cabinet in which the coupons will be stored prior to the distribution of the coupons.
- (11) Coupons that are distributed shall be entered in the coupon control ledger.
- (12) The manner in which:
  - (A) coupons may be redeemed for play;
  - (B) coupons redeemed by patrons will be canceled;
  - (C) coupons distributed, coupons not distributed, and coupons issued will be reconciled;
  - (D) coupons that have been issued, but not distributed to patrons in the appropriate time frame will be voided and reconciled; and
  - (E) a dealer or cage employee shall receive and account for coupons redeemed by patrons.

*(Indiana Gaming Commission; 68 IAC 1-12-4; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3297; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; errata filed Jan 10, 2013, 2:54 p.m.: 20130130-IR-068110786ACA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-12-5 Coupon requirements**

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

Affected: IC 4-33; IC 4-35

Sec. 5. (a) Coupons used in a complimentary play program shall contain, at a minimum, the following information:

- (1) The serial number assigned to the coupon.
- (2) A description of the value of the coupon.
- (3) The location or locations where the coupon may be redeemed.
- (4) The name of the casino licensee.
- (5) The date or dates for which the coupon is valid.
- (6) Any other information deemed necessary by the executive director to ensure compliance with IC 4-33, IC 4-35, and this title.

If a multiple-part coupon is used, each part of the coupon must contain the information set forth in this subsection.

(b) Coupons shall be designed and manufactured in such a way that the denomination and type of coupon can be determined using the surveillance system required under to 68 IAC 12-1. *(Indiana Gaming Commission; 68 IAC 1-12-5; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3299; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

#### **68 IAC 1-12-6 Records**

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

Affected: IC 4-33; IC 4-35

Sec. 6. The casino licensee shall do the following:

- (1) Maintain the records required by this rule for a minimum of one (1) year.
- (2) Allow the commission, upon request, to have access to or copies of the records maintained under this rule.

*(Indiana Gaming Commission; 68 IAC 1-12-6; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3299; readopted filed Oct 15, 2001, 4:34 p.m.:*

25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)

**68 IAC 1-12-7 Violation of rule**

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

Sec. 7. Failure to comply with this rule may result in the initiation of a disciplinary action against a casino licensee or an occupational licensee under 68 IAC 13. (*Indiana Gaming Commission; 68 IAC 1-12-7; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3299; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**Rule 12.5. Promotional Events**

**68 IAC 1-12.5-1 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 casino licensees.

(b) "Promotional event" means an activity that either:

- (1) is sponsored by a casino licensee; or
- (2) takes place on a casino licensee's property;

and is designed to entice people to visit the casino in order to increase casino patronage or the public awareness and appreciation of gaming in Indiana.

(c) Promotional events must comply with this rule.

(d) The following promotional events require approval by the commission:

- (1) An electronic gaming device tournament or live gaming device tournament sanctioned by the casino that:
  - (A) incorporates a game;
  - (B) may require a buy-in or invitation;
  - (C) has a fixed number of players;
  - (D) pays out a percentage of the total buy-in; and
  - (E) pays out one grand prize and other smaller payouts.
- (2) Giveaways where a patron's chances of winning the giveaway are based on the patron's level of play at the casino.
- (3) Other promotional events that the commission determines require approval.

(e) The following promotional events require review by the commission:

- (1) Live entertainment.
- (2) Other promotional events that the commission determines require review.

(f) The following activities, if they otherwise would constitute a promotional event, do not require approval under this rule:

- (1) Contributions and donations to charities, and sponsorship of community events.
- (2) Theme decorations.
- (3) Giveaways where the chances of winning are not based on the patron's level of play at the casino.
- (4) Food and nonalcoholic beverage coupons, excluding coupons provided on a routine basis exclusively to card members.
- (5) Other promotional events that the commission determines require only notice.

(*Indiana Gaming Commission; 68 IAC 1-12.5-1; filed May 14, 2014, 10:57 a.m.: 20140611-IR-068120659FRA*)

**68 IAC 1-12.5-2 Submission of promotional events**

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

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INDIANA GAMING COMMISSION

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Sec. 2. (a) A casino licensee shall submit a promotional event to the commission for approval or review if the promotional event is listed under sections [section] 1(d) or 1(e) of this rule.

(1) A casino licensee shall submit a promotional event under this subsection to the commission at least fifteen (15) days prior to the promotional event.

(2) Any substantial changes to the submission must be submitted to the commission in writing at least two (2) days prior to the start of the event.

(3) If there are substantial changes less than two days prior to an event and the commission's staff is unavailable to review the submission, a casino licensee shall submit the request to a gaming enforcement agent assigned to the property.

(4) A casino licensee may cancel an event at any time prior to the start of the event by notifying the commission's staff, including a gaming enforcement agent assigned to the property.

(b) A submission for approval or review under subsection (a) must be submitted on the appropriate forms prescribed by the commission.

(c) A submission for approval or review under subsection (a) must include the following:

(1) A copy of the official rules.

(2) A detailed description of the ways a patron can win.

(3) A copy of the marketing materials.

(4) A copy of documents used in the implementation of the promotional event.

(5) The signature of the casino licensee's general manager or designee.

(d) A casino licensee shall submit written notice to the commission for promotional events that are listed in section 1(f) of this rule.

(1) Written notice under this subsection may take whatever form the casino licensee prefers.

(2) A casino licensee shall submit notice of a promotional event under this subsection to the commission at least fifteen (15) business days prior to the promotional event.

(3) Notice under this subsection shall include the following:

(A) The date of the promotional event.

(B) The time of the promotional event.

(C) The location of the promotional event.

(D) A general description of the promotional event.

(e) A submission shall be deemed filed when the casino licensee has submitted the completed submission forms, including required documents, and the commission has stamped the submission as received.

(f) A misrepresentation or omission made with respect to the submission may be grounds for denial of the promotional event.

(g) The casino licensee is under a continuing duty to disclose changes in the submission, subject to the limitations in subsection (a). (*Indiana Gaming Commission; 68 IAC 1-12.5-2; filed May 14, 2014, 10:57 a.m.: 20140611-IR-068120659FRA*)

### **68 IAC 1-12.5-3 Internal controls**

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

Affected: IC 4-33; IC 4-35

Sec. 3. (a) In accordance with 68 IAC 11-1, a casino licensee shall submit to the executive director internal control procedures concerning promotional events.

(b) The internal control procedures for promotional events shall include, without limitation, the following:

(1) General rules that govern promotional events.

(2) Methods and personnel generally responsible for handling disputes over promotional events.

(3) Methods and personnel generally responsible for handling irregularities regarding promotional events, including the duty to inform the commission of irregularities.

(*Indiana Gaming Commission; 68 IAC 1-12.5-3; filed May 14, 2014, 10:57 a.m.: 20140611-IR-068120659FRA*) NOTE: Agency cited as 68 IAC 1-12.5-4, which was renumbered by the Publisher as 68 IAC 1-12.5-3.

**68 IAC 1-12.5-4 Deviation from provisions**

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

Sec. 4. The executive director or the commission may approve deviations from the provisions of this rule upon written request if the executive director or 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 this rule;
  - (B) are in the best interest of the public and the gaming industry; and
  - (C) do not violate IC 4-33 or IC 4-35.

*(Indiana Gaming Commission; 68 IAC 1-12.5-4; filed May 14, 2014, 10:57 a.m.: 20140611-IR-068120659FRA) NOTE: Agency cited as 68 IAC 1-12.5-5, which was renumbered by the Publisher as 68 IAC 1-12.5-4.*

**Rule 13. Reporting of Interest in a License**

**68 IAC 1-13-1 General provisions**

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

Sec. 1. (a) As used in this rule, "interest" has the meaning set forth in IC 4-33-10-2.1(h).

(b) As used in this rule, "publicly traded corporation" has the meaning set forth in 68 IAC 5-1-1(b)(2).

(c) Casino licensees, casino license applicants, and supplier licensees that are not publicly traded corporations must file a quarterly report that sets forth those persons who hold an interest in a license or the certificate of suitability.

(d) The quarterly report must be filed, in the formats directed by the executive director or the executive director's designee, by the fifteenth day of the month following the close of the quarter based on the calendar quarter. The executive director may require a casino licensee, casino license applicant, or supplier licensee to file the report at any other time that the executive director determines it is necessary to ensure compliance with IC 4-33-10-2.1.

(e) The report must be filed with the following persons:

- (1) The directors of background and financial investigations for the commission.
- (2) The Indiana election division.

*(Indiana Gaming Commission; 68 IAC 1-13-1; filed Aug 20, 1997, 7:10 a.m.: 21 IR 21; errata filed Nov 17, 1997, 3:45 p.m.: 21 IR 1347; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**68 IAC 1-13-2 Consequences of violation of rule**

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

Sec. 2. If the commission or the executive director determines that a casino licensee, casino license applicant, or supplier licensee has violated or is in violation of this rule, the commission or the executive director may initiate an investigation or a disciplinary action, or both, under 68 IAC 13. *(Indiana Gaming Commission; 68 IAC 1-13-2; filed Aug 20, 1997, 7:10 a.m.: 21 IR 22; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA)*

**Rule 14. Gaming Enforcement; Reimbursable Expenses for Troopers and Other State Police Personnel**

**68 IAC 1-14-1 Applicability**

Authority: IC 4-33-4; IC 4-35-4  
Affected: IC 4-33; IC 4-35; IC 10-11-2-2

Sec. 1. This rule applies to casino licensees. (*Indiana Gaming Commission; 68 IAC 1-14-1; filed May 29, 1998, 5:05 p.m.: 21 IR 3701; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-14-2 Reimbursable expenses**

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

Sec. 2. Casino licensees shall reimburse the commission, as set forth in section 3 of this rule, for the following items:

- (1) The actual salaries of the enforcement agents assigned to the licensee's casino or casinos.
- (2) A pro rata amount of the actual salaries of the gaming agents who supervise the enforcement agents.
- (3) A pro rata amount of the actual salaries of the staff assigned to provide support for the enforcement agents or to the supervisory personnel, or both, in subdivision (2).
- (4) The cost or pro rata cost of:
  - (A) the fringe benefits; and
  - (B) incentive payments;

received by those individuals listed in subdivisions (1) through (3).

- (5) The actual overtime costs incurred by those individuals listed in subdivisions (1) through (3) in the performance of duties associated with the casino.

- (6) For gaming agents, the cost or pro rata cost of purchasing, maintaining, and replacing all vehicles and equipment deemed necessary by the executive director.

- (7) The pro rata cost of providing the gaming agents with the training deemed necessary by the commission to ensure the required expertise and understanding of the assignment to the casino.

- (8) All other costs deemed necessary by the commission to ensure compliance with IC 4-33, IC 4-35, and this title.

(*Indiana Gaming Commission; 68 IAC 1-14-2; filed May 29, 1998, 5:05 p.m.: 21 IR 3701; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-14-3 Interdepartmental bill**

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

Sec. 3. For reimbursable expenses covered by this rule, the commission will prepare an invoice that will be sent to the casino licensee. The casino licensee must pay the commission in the manner directed in the invoice. (*Indiana Gaming Commission; 68 IAC 1-14-3; filed May 29, 1998, 5:05 p.m.: 21 IR 3702; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-14-4 Disciplinary action**

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

Sec. 4. If the commission determines that a casino licensee has violated this rule, the commission may initiate a disciplinary



action under 68 IAC 13. (*Indiana Gaming Commission; 68 IAC 1-14-4; filed May 29, 1998, 5:05 p.m.: 21 IR 3702; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

## **Rule 15. Destruction of Records**

### **68 IAC 1-15-1 Destruction of records**

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

Affected: IC 4-33; IC 4-35

Sec. 1. (a) This rule applies to casino licensees and casino license applicants.

(b) Casino licensees and casino license applicants may not destroy records of any type that relate to the casino gambling operation unless they have complied with this rule.

(c) At least twenty (20) working days before a casino licensee or casino license applicant intends to destroy any records that relate to the casino gambling operation, the casino licensee or casino license applicant must notify, in writing, the commission audit director of the following information:

(1) The records the casino licensee or casino license applicant intends to destroy.

(2) The date, time, and manner of destruction.

(3) The date that the records were generated.

(4) The applicable length of time that the record was to be maintained in accordance with this title.

(5) The reason for the destruction.

(d) The casino licensee or casino license applicant shall not destroy any records that relate to the casino gambling operation until the commission audit director has approved, in writing, the destruction of the records.

(e) Violation of this rule may result in the initiation of a disciplinary action under 68 IAC 13-1. (*Indiana Gaming Commission; 68 IAC 1-15-1; filed Feb 18, 1998, 9:45 a.m.: 21 IR 2311; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

## **Rule 16. Rights and Duties of Casino Licensees and Casino License Applicants**

### **68 IAC 1-16-1 General provisions**

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

Affected: IC 4-33; IC 4-35; IC 12-21-1-1

Sec. 1. (a) This rule applies to casino licensees and casino license applicants.

(b) For purposes of this rule, "division of mental health and addiction" means the division established by IC 12-21-1-1.

(c) The casino licensee or casino license applicant is responsible for the following:

(1) Ensuring that all aspects of the casino gambling operation are conducted in accordance with IC 4-33, IC 4-35, this title, and all other state, federal, and local laws.

(2) The acts of its employees and agents in the course of their employment.

(*Indiana Gaming Commission; 68 IAC 1-16-1; filed Feb 23, 1998, 11:30 a.m.: 21 IR 2310; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

### **68 IAC 1-16-2 Toll free telephone number**

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

Affected: IC 4-33; IC 4-35

Sec. 2. (a) Casino licensees shall conspicuously display a toll free telephone number that provides the public with information about compulsive gambling addictions on a poster or placard that is on display in a public area of the casino.

(b) The toll free telephone number to be displayed shall be specified by the division of mental health and addiction. (*Indiana Gaming Commission; 68 IAC 1-16-2; filed Feb 23, 1998, 11:30 a.m.: 21 IR 2310; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-16-3 Access to premises; production of records**

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

Affected: IC 4-33; IC 4-35

Sec. 3. Casino licensees and casino license applicants must do the following:

(1) Allow the commission, enforcement agents, and any person authorized by IC 4-33 or IC 4-35 immediate access to the premises of the casino licensee or casino license applicant that are connected to the casino gambling operation, including, but not limited to, the following:

- (A) The casino.
- (B) The pavilion.
- (C) The support facility.
- (D) Offices.

(2) Produce the original or a copy, or both, of any records requested by the commission, enforcement agents, or persons authorized by the commission.

(*Indiana Gaming Commission; 68 IAC 1-16-3; filed Feb 23, 1998, 11:30 a.m.: 21 IR 2310; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.: 20070103-IR-068060191FRA; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-16-3.3 Immediate family members winning a promotional event prize**

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

Affected: IC 4-33; IC 4-35

Sec. 3.3. (a) A casino licensee must take reasonable steps to prevent immediate family members of Level 1 and Level 2 occupational licensees from winning prizes in violation of 68 IAC 2-3-9.6.

(b) A casino licensee must not award any prize to an immediate family member of a Level 1 or Level 2 occupational licensee who wins a prize in violation of 68 IAC 2-3-9.6.

(c) A casino licensee must report to the commission any violation of 68 IAC 2-3-9.6 as soon as the casino licensee becomes aware of the violation. (*Indiana Gaming Commission; 68 IAC 1-16-3.3; filed Dec 20, 2011, 1:53 p.m.: 20120118-IR-068110248FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-16-4 Authorized games**

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

Affected: IC 4-33; IC 4-35

Sec. 4. Casino licensees may only permit the operation of electronic gaming devices and live gaming devices that are approved by the commission under IC 4-33, IC 4-35, and this title. (*Indiana Gaming Commission; 68 IAC 1-16-4; filed Feb 23, 1998, 11:30 a.m.: 21 IR 2310; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-16-5 Termination of license**

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

Sec. 5. (a) If a casino owner's license is terminated for any reason, the casino licensee shall immediately cease the conduct of gaming activity and secure the assets of the casino gambling operation. The casino licensee shall not dispose of any assets of the casino gambling operation until written approval has been obtained from the commission.

(b) The casino licensee or casino license applicant remains under the jurisdiction of the commission until all matters associated with the casino owner's license or certificate of suitability are resolved. (*Indiana Gaming Commission; 68 IAC 1-16-5; filed Feb 23, 1998, 11:30 a.m.: 21 IR 2310; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; filed Dec 6, 2012, 2:32 p.m.: 20130102-IR-068110786FRA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

**68 IAC 1-16-6 Violation of rule**

Authority: IC 4-33-4-1; IC 4-33-4-2; IC 4-33-4-3  
Affected: IC 4-33

Sec. 6. Failure to comply with this rule may result in the initiation of a disciplinary action under 68 IAC 13-1. (*Indiana Gaming Commission; 68 IAC 1-16-6; filed Feb 23, 1998, 11:30 a.m.: 21 IR 2311; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: 20071003-IR-068070354RFA; readopted filed Nov 26, 2013, 3:58 p.m.: 20131225-IR-068130354RFA*)

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