



INVESTIGATIVE REPORT

Lori Torres, Inspector General

OFFICE: INDIANA GAMING COMMISSION (IGC)
TITLE: IGC ALLEGED GIFTS RULE VIOLATION (UNSUBSTANTIATED)
CASE ID: 2019-11-0291
DATE: March 13, 2020

Inspector General Chief Legal Counsel Tiffany Mulligan, after an investigation by Inspector General Special Agent Mark Mitchell, reports as follows:

The Indiana General Assembly charged the Office of Inspector General (OIG) with addressing fraud, waste, abuse and wrongdoing in the executive branch of state government. IC 4-2-7-2(b). The OIG also investigates criminal activity and ethics violations by state workers. IC 4-2-7-3.

On November 19, 2019, the OIG received an anonymous complaint alleging that an Indiana Gaming Commission (IGC) employee (Employee), a senior leader at IGC, violated several ethics rules and IGC laws. The complaint alleged that the Employee accepted a free, private dinner from the owner of a regulated entity (Entity) on the night before the General Assembly passed gaming legislation. The complaint did not specify to which gaming legislation it was referring. It also alleged that the Employee accepted free travel from the Entity. The complaint made additional allegations that fell outside of the OIG's jurisdiction.

OIG Special Agent Mark Mitchell conducted an investigation into this matter. As part of this investigation, he reviewed numerous documents, including business records, emails and calendar entries. He also interviewed the Employee.

Special Agent Mitchell researched recent gaming legislation and reviewed business records and other documents related to the Entity to learn the names of the Entity's executives and to learn more about the products/services/entertainment the Entity offers.

Special Agent Mitchell reviewed the Employee's outlook email messages and calendar entries. He specifically looked for names associated with the Entity in the 2019 time period surrounding the passage of recent gaming legislation. He found no communications in the Employee's email account or appointments on his or her calendar related to having dinner or accepting travel from any of the Entity's executives. He found one meeting in which the Employee was scheduled to meet with the Entity's Chief Operating Officer (COO). The meeting included eighteen other attendees and took place during the middle of the day. The subject line involved technology. The OIG found no evidence that suggested that the Employee ever accepted free travel from the Entity.

Special Agent Mitchell also interviewed the Employee. The Employee stated that he or she has never had a dinner with any executive of the Entity. The Employee said that he or she has had limited communications with the Entity's COO, but the Employee did not know any of the owners or other executives by name. The Employee also stated that neither the Employee nor the Employee's family has ever accepted paid travel from anyone from the Entity.

In summary, Special Agent Mitchell found no evidence to suggest that the Employee violated the Code's gifts rule by accepting free dinners or travel.

For the above reasons, the OIG is closing this case for no merit.

Dated: March 13, 2020

APPROVED BY:

A handwritten signature in black ink that reads "Lori Torres". The signature is written in a cursive, flowing style.

Lori Torres, Inspector General