BACKGROUND & FINANCIAL INVESTIGATION DIVISIONS

Background & Financial Investigation Divisions

Greg Small
Executive Director

Garth Brown
Director, Background Investigations

Danielle Leek
Director, Financial Investigations

Kimi Martinez
Gaming Administrator

Christina Candia
Investigations Coordinator

Barry Arnett
Background Investigator

Racheal Burger
Background Investigator

Tony Calvert
Background Investigator

Ian Hill
Background Investigator

Jeremy Hosier
Background Investigator

Zach Wilkinson
Background Investigator

Stephanie Berry
Financial Investigator

Takisha Body
Financial Investigator

Caitlin Hannah
Financial Investigator

Melina Williams
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Tom Piskorowski
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Bill Murphy
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Directors of Investigations

Garth Brown
Director, Background Investigations

Danielle Leek
Director, Financial Investigations

- Kimi Martinez — Gaming Administrator
- Christina Candia — Investigations Coordinator
- Barry Arnett — Background Investigator
- Racheal Burger — Background Investigator
- Tony Calvert — Background Investigator
- Zach Wilkinson — Background Investigator
- Jeremy Hosier — Background Investigator
- Ian Hill — Background Investigator
- Stephanie Berry — Financial Investigator
- Takisha Body — Financial Investigator
- Caitlin Hannah — Financial Investigator
- Bill Murphy — Financial Investigator
- Tom Piskorowski — Financial Investigator
- Melina Williams — Financial Investigator

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Gaming Administrator & Investigations Coordinator

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Level 1

Personal Disclosure 1

Level 2

Personal Disclosure 2

Level 3

Personal Disclosure 3

Occupational Licensing Investigations

Level 1

Personal Disclosure 1

Complete suitability investigation on Indiana's 3 occupational licensing levels

Different criteria for the investigation of each level of licensure

Level 2

Personal Disclosure 2

Level 3

Personal Disclosure 3

Occupational Licensing Investigations

Level 1

Personal Disclosure 1

Complete suitability investigation on Indiana's 3 occupational licensing levels

Different criteria for the investigation of each level of licensure

Level 2

Personal Disclosure 2

Level 3

Personal Disclosure 3

Level 1

Personal Disclosure 1

Level 2

Personal Disclosure 2

Level 3

Personal Disclosure 3

This is the highest level of licensure, and the application requires detailed information such as employment, family, litigation, and license history, as well as three years of bank statements, tax returns, and other financial documents.

Investigators use third-party sources to verify information such as employment verifications, IRS transcript requests, bank statement analysis, and online databases.

This investigation includes a personal interview with the applicant and a Final Report at completion.

Conducting Investigations

Level 1

Personal Disclosure 1

Level 2

Personal Disclosure 2

Level 3

Personal Disclosure 3

Investigators review of the applicant's previous work history, employment, license history, and criminal history.

Applicants are fingerprinted, must disclose full criminal history, and may not have a felony conviction.

Financial Investigators check the applicant's tax status with IDOR (if Indiana resident) or use Accurint to check for tax issues (if out of state).

Conducting Investigations

Gaming Entity Investigations

LAM

Detailed information is submitted by each Gaming Entity, depending on the type of company:

- **Investigators analyze the company's background, formation, business in Indiana, gaming history, ownership, and financial status.**
- **Background Investigators compile company data, litigation history, and verify gaming licenses and potential violations with other jurisdictions.**
- **Financial Investigators analyze three years of financial statements and tax returns to provide financial picture of the entity.**
- **Investigators verify information with third-party investigative sources.**
- **A Final Report is completed for Gaming Entities and reviewed with Executive Staff prior to be added to a Commission meeting agenda for consideration of the Commission.**

Gaming Entity Investigations

LAM

The system was launched in January 2022 and is planned to be fully completed by Summer 2024.

The Investigations Division took the lead on the creation and implementation of the IGC's new licensing system.

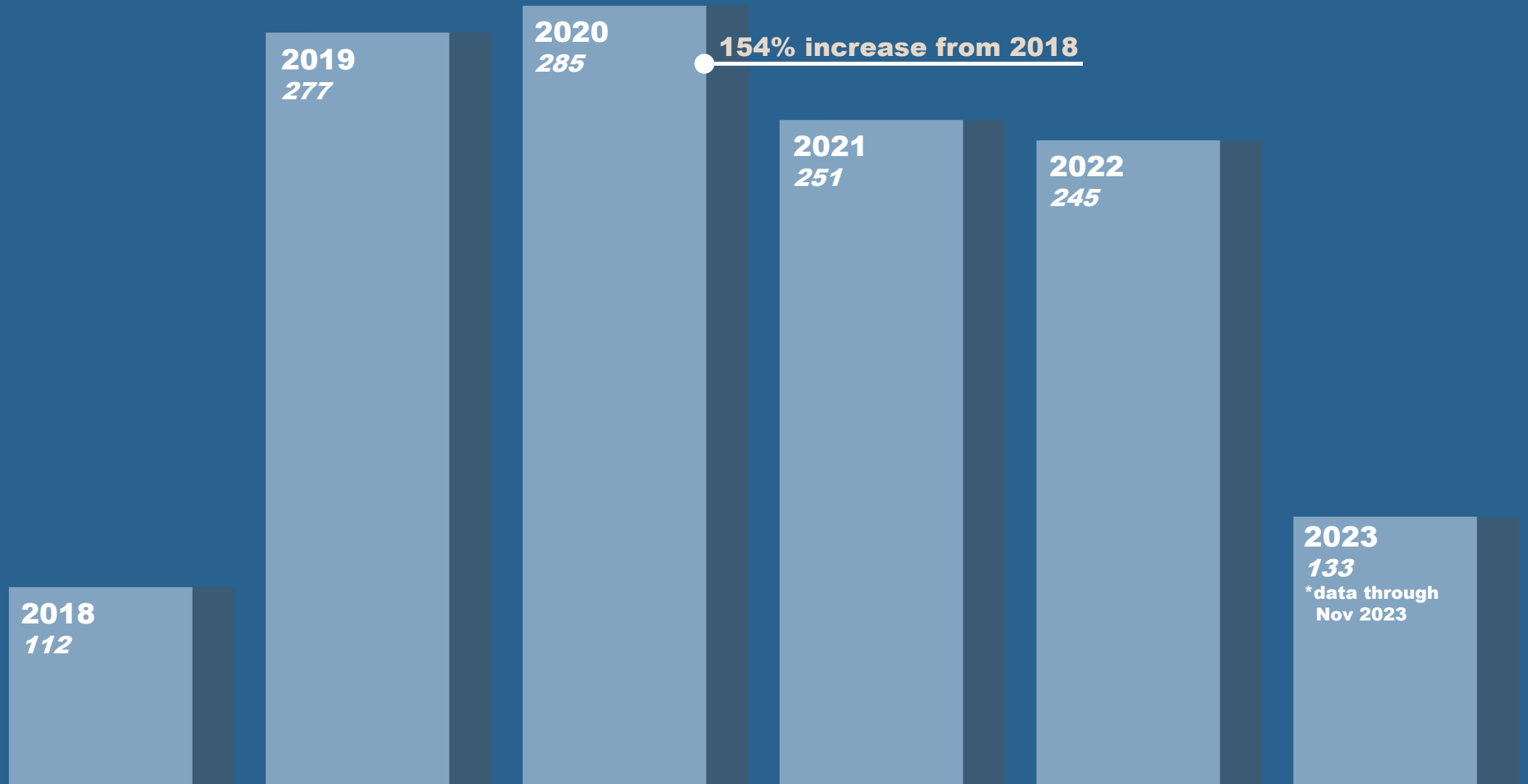
LAM houses all Gaming Entity and Occupational Licensees.

LAM allows Gaming Entities access to the database to manage their licensees' information such as address changes, title changes, and yearly renewals.

Initial Investigations by Level

Level 1 Reinvestigations

Investigations by GEs

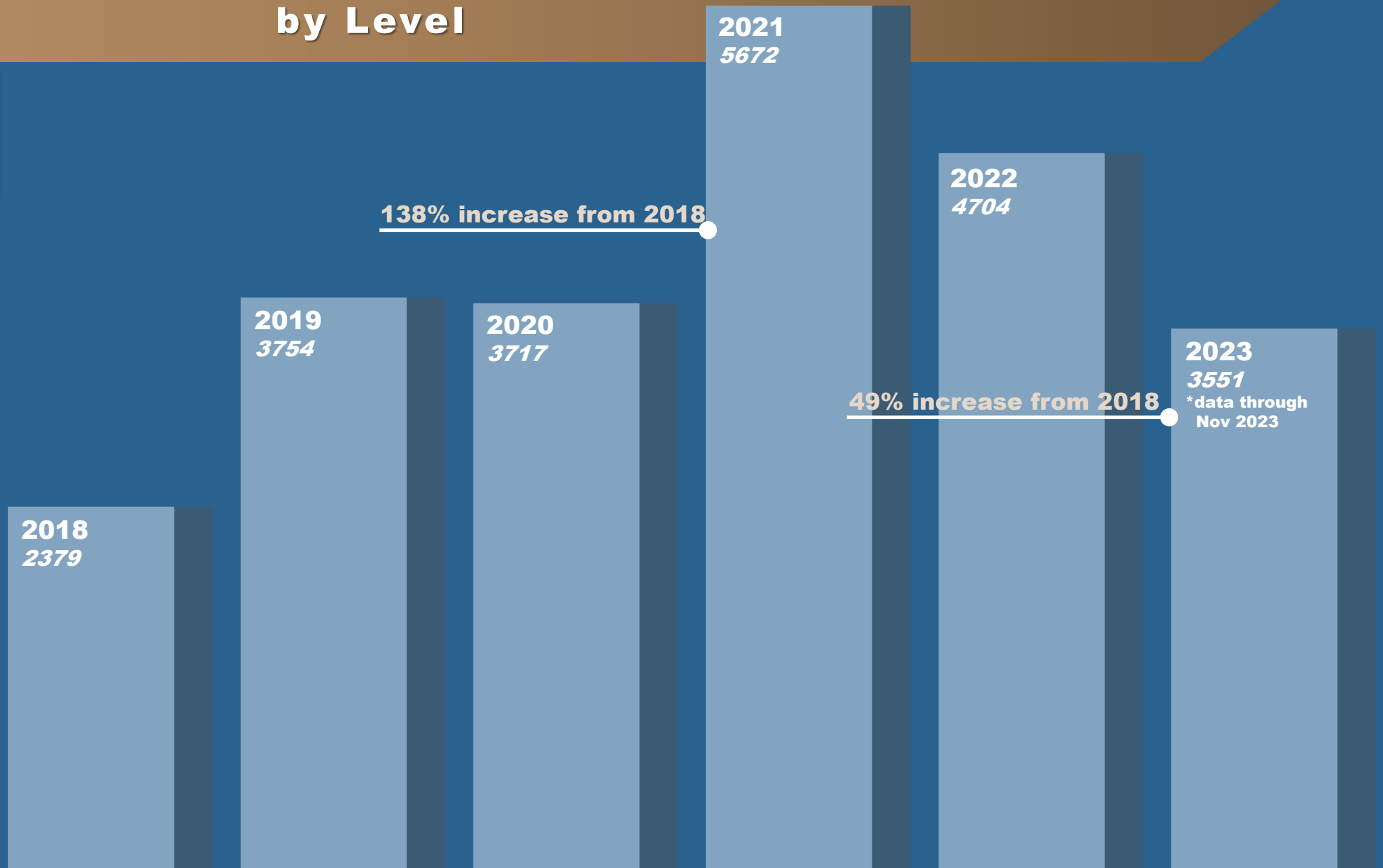


Initial Investigations
by Level

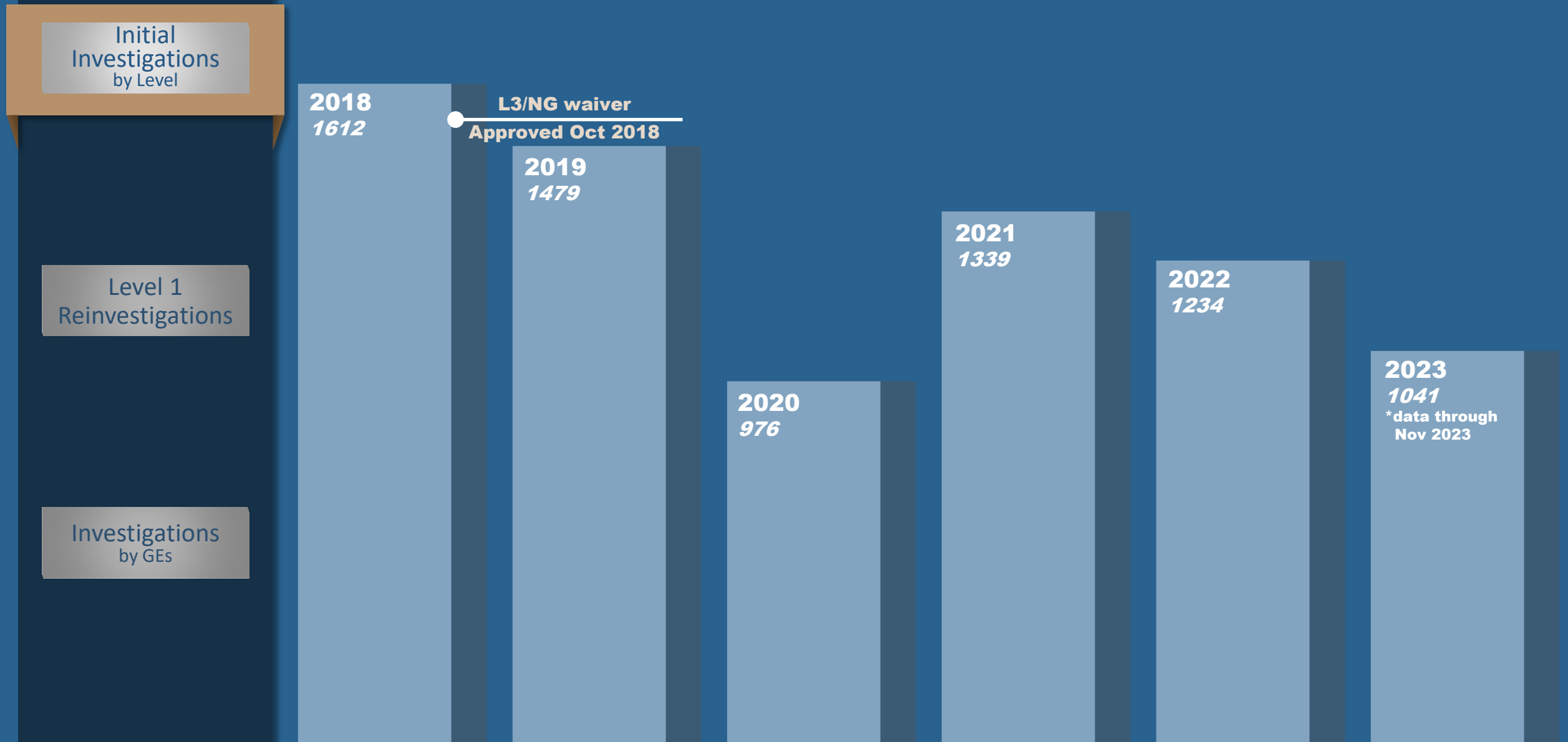
Initial Investigations by Level

Level 1 Reinvestigations

Investigations by GEs



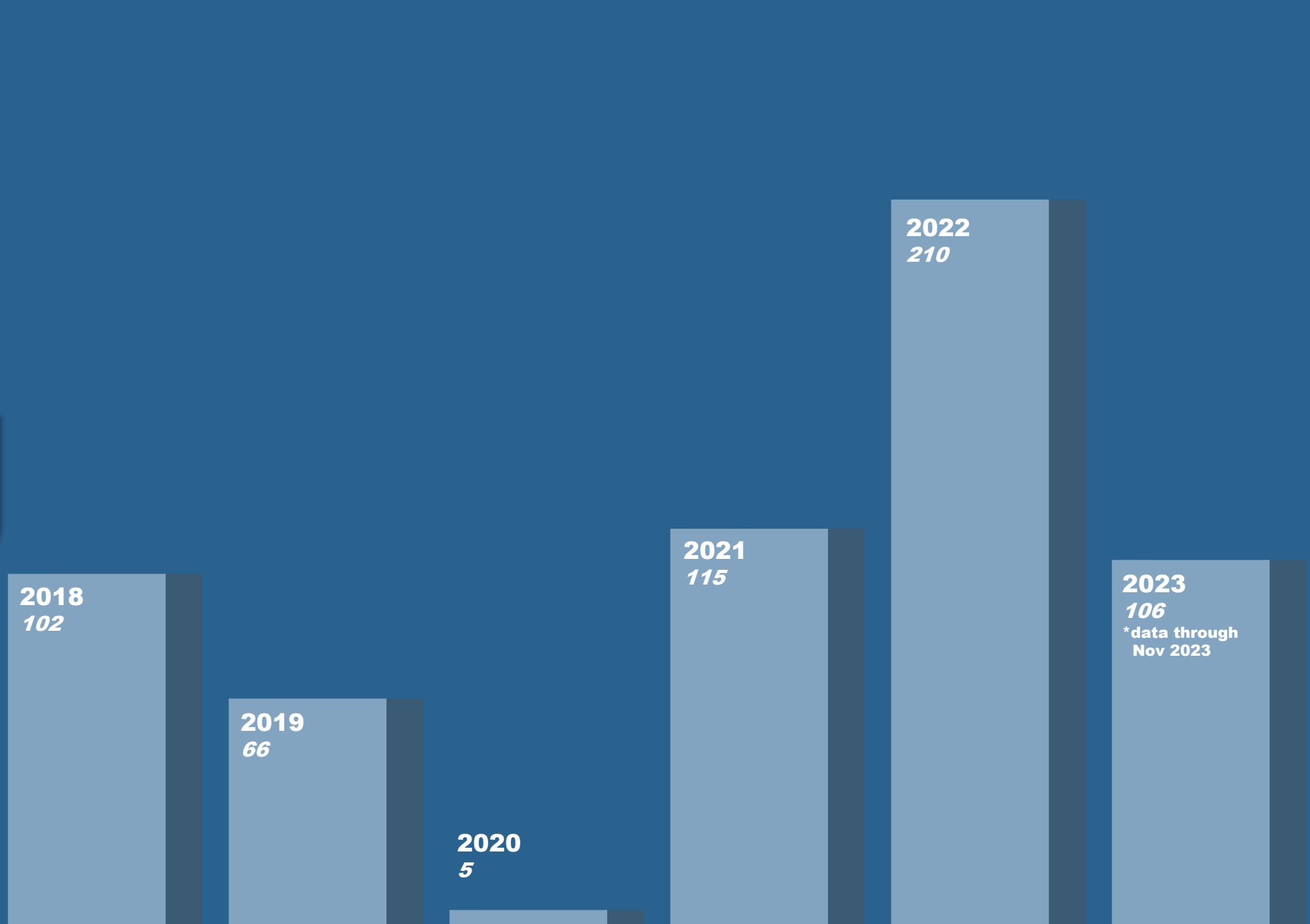
Initial Investigations
by Level

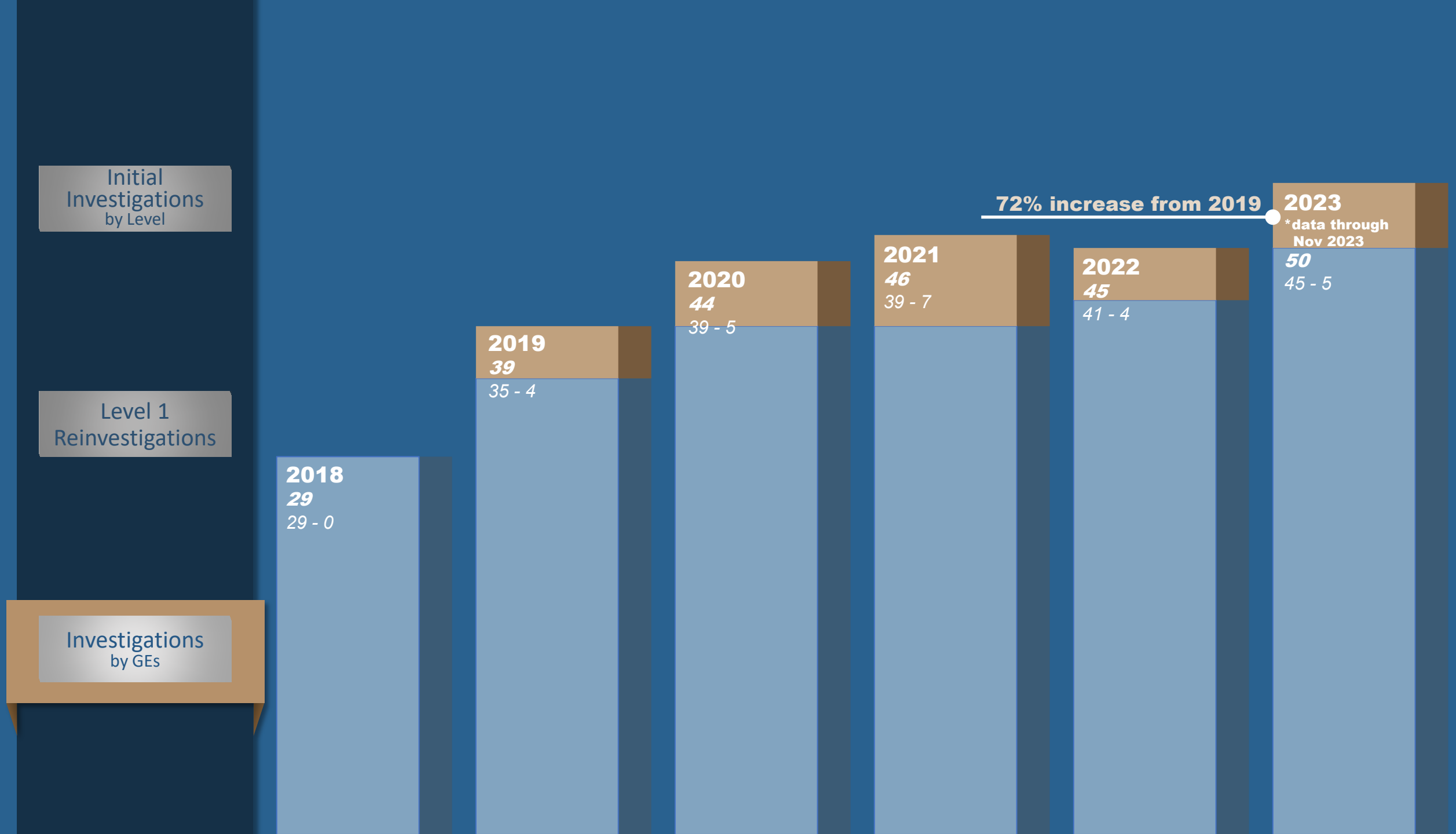


Initial Investigations by Level

Level 1 Reinvestigations

Investigations by GEs



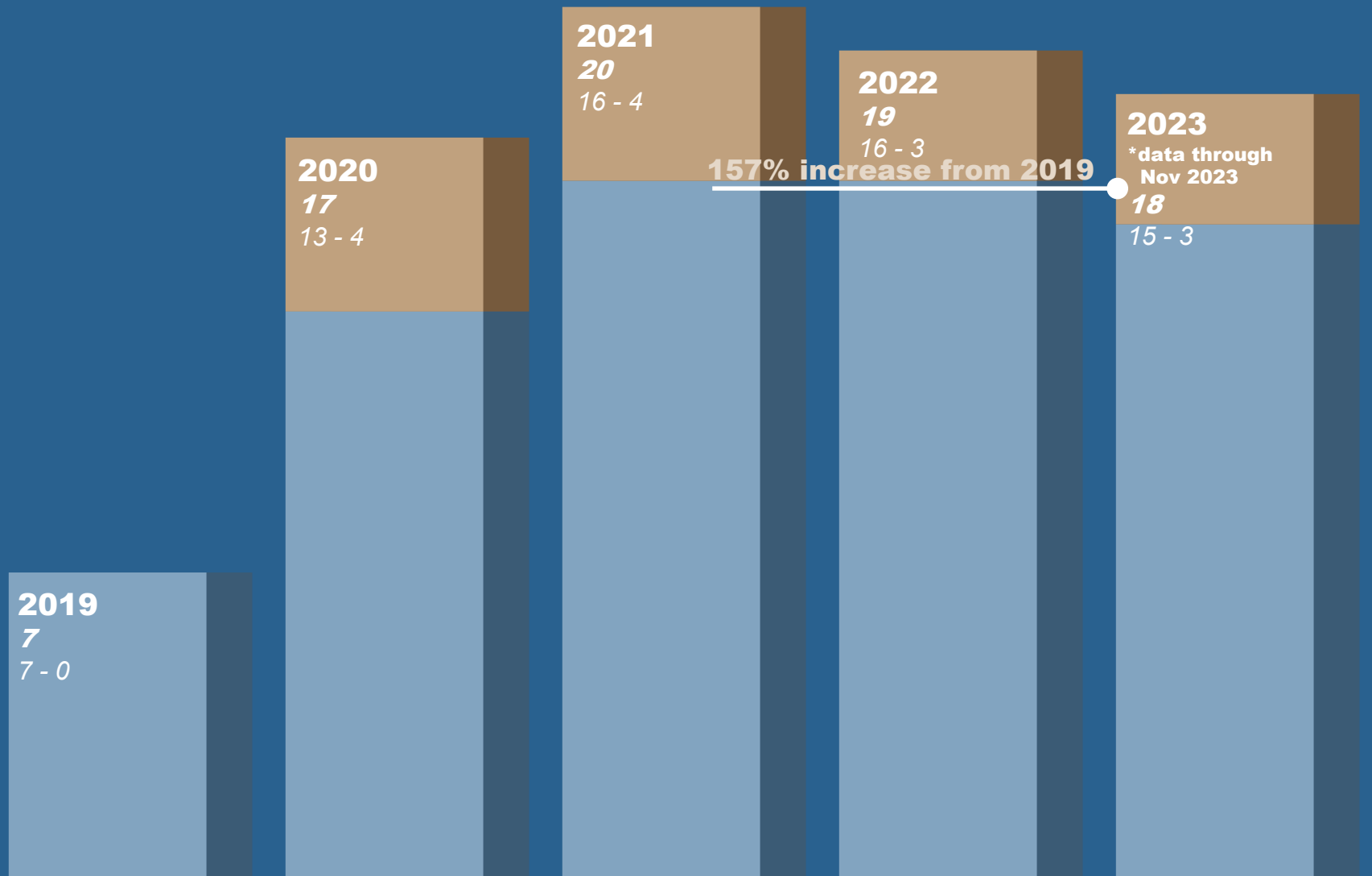

Initial Investigations by Level
Level 1 Reinvestigations
Investigations by GEs
2018
29
29 - 0
2019
39
35 - 4
2020
44
39 - 5
2021
46
39 - 7
2022
45
41 - 4
72% increase from 2019
2023
*data through Nov 2023
50
45 - 5

Licensed Gaming Entities

Initial Investigations by Level

Level 1 Reinvestigations

Investigations by GEs

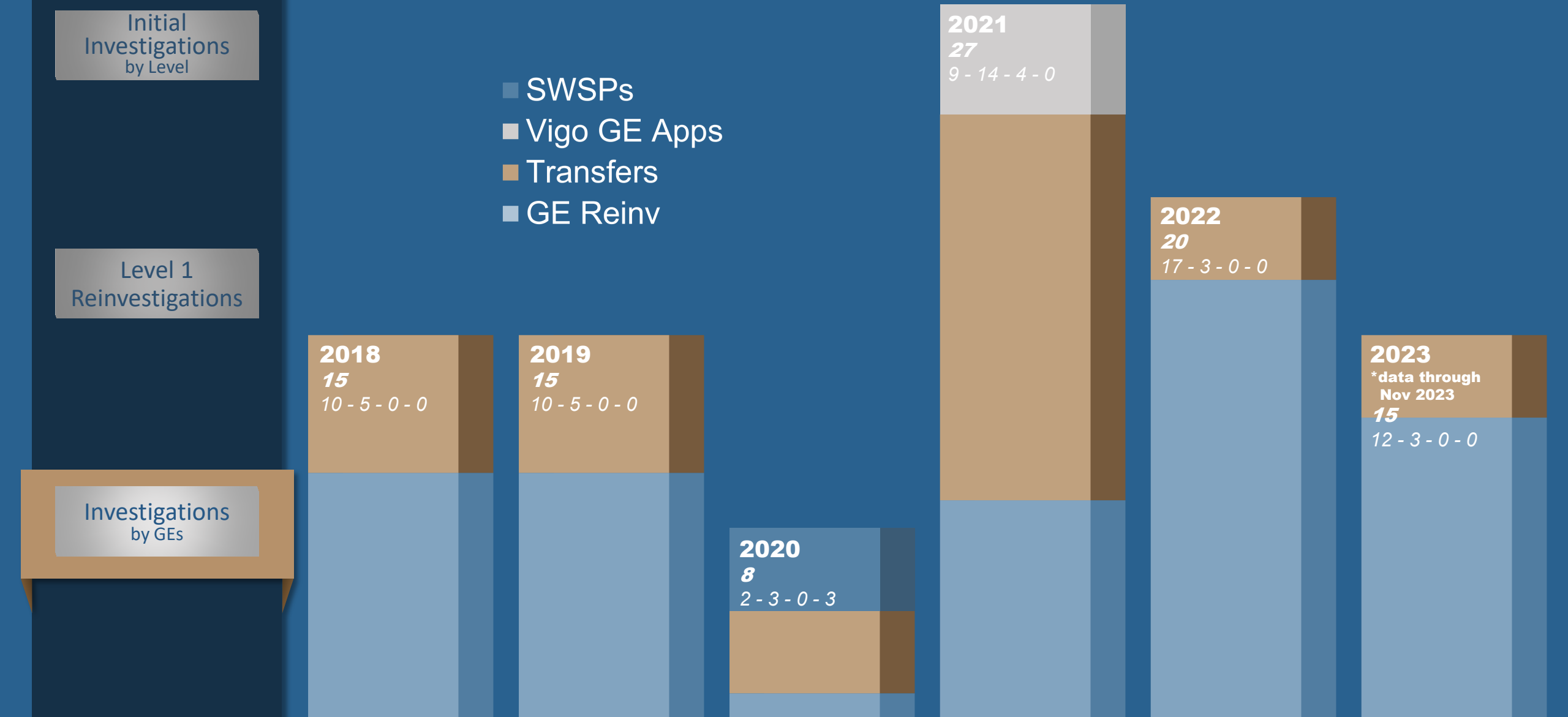


Reinvestigations, Transfers of Ownership, Vigo Co Applications, & SWSPs

Initial Investigations by Level

Level 1 Reinvestigations

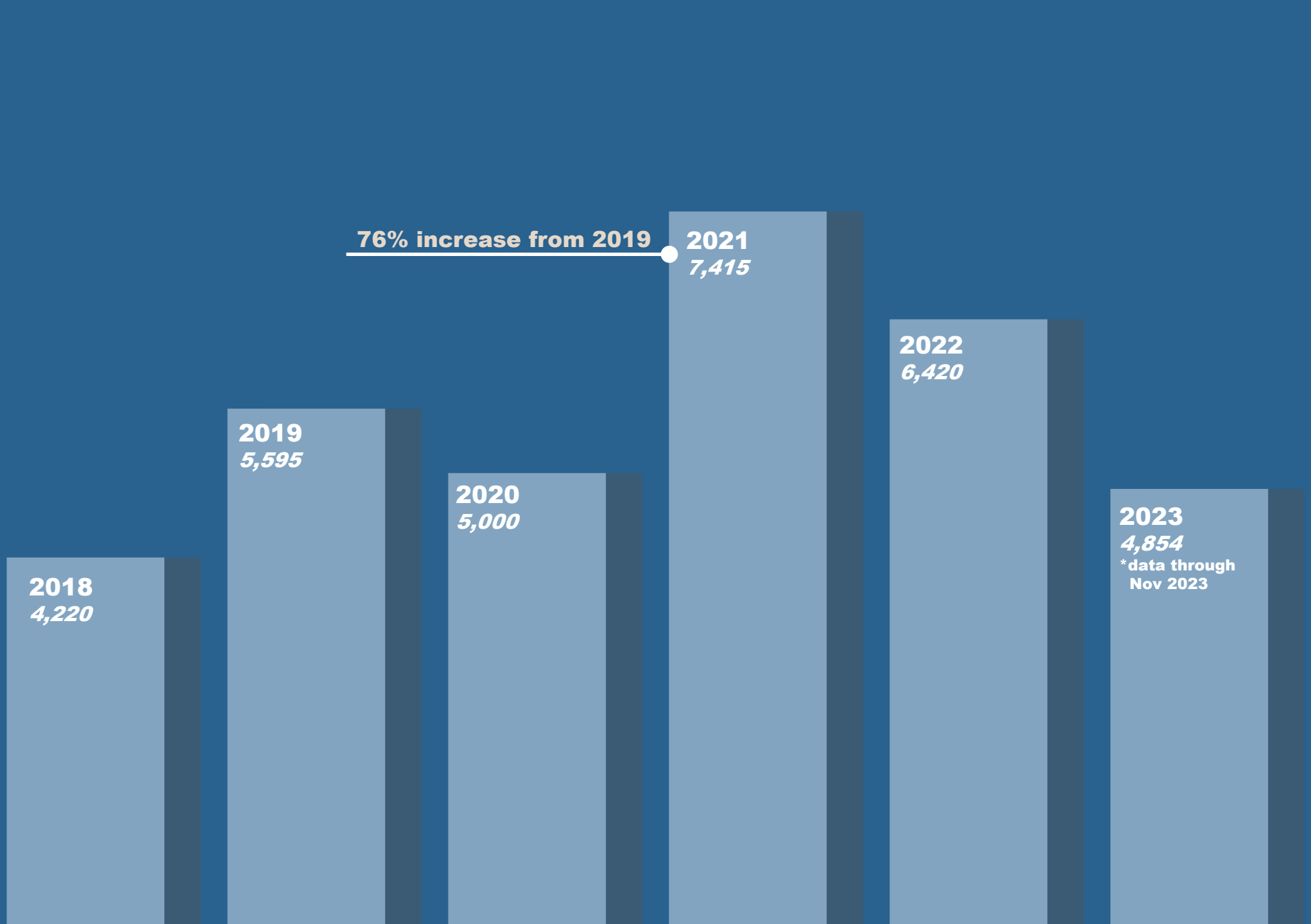
Investigations by GEs



Initial Investigations by Level

Level 1 Reinvestigations

Investigations by GEs



Initial Investigations
by Level

Reinve
by

Investigations
by GEs

Questions?