

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

PROPOSED AMENDMENT

11 CSR 45-4.420 Occupational License. The commission is amending sections (2), (3), and (4).

PURPOSE: This amendment corrects references to the type of licensee referenced in section (2), and removes obsolete language from sections (3) and (4).

(2) Upon the filing of an application for an occupational license, the director may issue a temporary occupational license to allow an applicant to perform the function for which the applicant has applied. The director may withdraw or suspend this temporary occupational license by withdrawing the holder's occupational license badge upon a determination to seek denial of licensure by the commission and on so doing report this action to the commission, the Class *[A]* **B** licensee who employed the applicant, and the applicant.

(3) Upon issuance of an occupational license to applicant, applicant shall receive *[a partially completed]* **an** occupational license badge from the commission.

(4) Whenever an occupational license badge *[shall be]* is lost or destroyed, a duplicate occupational license badge in lieu of the lost or destroyed occupational license badge will be issued by the commission. The fee for a replacement occupational license badge is fifteen dollars (\$15). Application for a duplicate occupational license badge shall be by affidavit of the licensee which shall set forth—

AUTHORITY: sections 313.004, *[and 313.850, RSMo 2000, and section] 313.800, [RSMo Supp. 2013] 313.805, and 313.807, RSMo 2016. Original rule filed May 13, 1998, effective Oct. 30, 1998. Amended: Filed Dec. 7, 2001, effective June 30, 2002. Amended: Filed Dec. 3, 2007, effective May 30, 2008. Amended: Filed Dec. 5, 2013, effective Aug. 30, 2014. Amended: Filed Nov. 1, 2018.*

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

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

NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Tuesday, January 8, 2019, at 10:a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.

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

PROPOSED AMENDMENT

11 CSR 45-7.130 Nongambling Hours. The commission is amending section (1) and renumbering subsection (1)(B) as section (2).

PURPOSE: This amendment resolves a conflict with 11 CSR 45-9.113 regarding the surveillance requirement during nongambling hours.

(1) *[Surveillance will be required during nongambling hours as follows:*

*(A) Cleanup and Removal Time. Anytime cleanup operations or money removal is being conducted in the casino area, at] At least two (2) trained surveillance operators must be on duty [and present] in the casino surveillance room [and present in the casino surveillance room; and] **actively monitoring activities during nongambling hours when no drops and counts are being conducted.***

[(B)] (2) [Locked-Down Mode.] Anytime the casino is closed and in a locked-down mode, sufficient surveillance coverage as approved by the commission must be conducted to monitor and record the casino, in general, so that security integrity is maintained. [During this period it is not required that a trained surveillance person be present.]

AUTHORITY: sections 313.004, 313.800, 313.805, and 313.824, RSMo [2000] 2016. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Amended: Filed Feb. 26, 2001, effective Sept. 30, 2001. Amended: Filed Nov. 1, 2018.

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

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

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

PROPOSED AMENDMENT

11 CSR 45-9.102 Minimum Internal Control Standards (MICS)—Chapter B. The commission is amending section (1).

*PURPOSE: This amendment changes the internal controls for Chapter B of the **Minimum Internal Control Standards** by clarifying requirements for sensitive keys.*

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission's opinion satisfy 11 CSR 45-9.020, as set forth in *Minimum Internal Control Standards (MICS) Chapter B—Key Controls*, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter B does not incorporate any subsequent amendments or additions as adopted by the commission on [February 23, 2011] **October 31, 2018**.

*AUTHORITY: sections 313.004, [RSMo 2000 and sections] 313.800, and 313.805, RSMo [Supp. 2010] **2016**. Original rule filed Oct. 22, 2010, effective June 30, 2011. Amended: Filed Nov. 1, 2018.*

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

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

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Tuesday, January 8, 2019, at 10:a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS

CONTENTS

<u>Section</u>	<u>Page</u>
§ 1. General	B-2
§ 2. Procedures	B-3
§ 3. Key Access List	B-3
§ 4. Key Log	B-4
§ 5. Duplicate Keys	B-5
§ 6. Broken, Lost or Missing Keys	B-5
§ 7. Required Sensitive Keys	B-6
§ 8. Proximity Cards Used to Access Sensitive Areas	B-7

*Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005 (4.01 – deleted Key Name and 6.01 (F) – added security requirement). Revised October 30, 2007 (Sections 1.04, 4.02 and 6.01). Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised June 30, 2011 (1.03, 1.05, 1.06, 3.01, 4.03, 5.01 and 7.01, added section 8). Revised June 30, 2011. Revised **TBD** (Revised 1.01 and 4.02).*

**MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS**

§ 1 General

- 1.01 Sensitive keys are those keys that either management or the MGC considers sensitive to the Class B Licensee’s operation. All licensees must exercise strict control over storage, duplication, custody, issuance and return of sensitive keys. Sensitive keys shall not be removed from the premises. The Internal Control System shall identify each sensitive key used by the Class B Licensee. Sensitive keys shall be maintained in a dual locked sensitive key box and if lost, missing, or taken from the premises all locks the key fits must be immediately changed unless the Commission, in its sole discretion, deems this is not necessary. If sensitive keys are maintained in an automated key box, the box shall require two keys, which shall be issued to individuals from different departments, to access the box when the box is accessed without using the automated system.
- 1.02 If key rings, which may have their own key ring number, are used, each key on the ring shall also be identified on the key access list individually.
- 1.03 The Internal Control System shall include:
- (A) the location of each sensitive key box;
 - (B) positions which have authorized access to the sensitive key box key(s) and how the keys to the sensitive key boxes are issued and controlled;
 - (C) sensitive key name, sensitive key identifier, location, custodian and job titles authorized to sign out each sensitive key;
 - (D) the location and custodian of duplicate sensitive key boxes; and
 - (E) positions which have authorized access to the duplicate sensitive key box key(s) and how the keys to the duplicate sensitive key boxes are issued and controlled.
- 1.04 Each sensitive key box and duplicate key box shall have continuous surveillance coverage.
- 1.05 If an automated key control system is used, the ICS shall also include:
- (A) a general description of the automated system and its configuration including how access is controlled, e.g., hand reader, fingerprint, retina scan, password or PIN, etc.;
 - (B) system capabilities to provide scheduled and on-demand reports for a complete audit trail of all access including the identity of the key box, identity of the employee, identity of the key(s), date and time out, date and time returned, as well as unauthorized attempts to access the key box and all entries, changes, or deletions in the system and the employee who did so;
 - (C) position in charge of any automated key control system;
 - (D) position(s) authorized to enter, modify, and delete which keys/which positions are authorized for access. Changes must be made within 72 hours of an employee

*Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005 (4.01 – deleted Key Name and 6.01 (F) – added security requirement). Revised October 30, 2007 (Sections 1.04, 4.02 and 6.01). Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised June 30, 2011 (1.03, 1.05, 1.06, 3.01, 4.03, 5.01 and 7.01, added section 8). Revised June 30, 2011. Revised **TBD** (Revised 1.01 and 4.02).*

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS

- being suspended subject to termination by the Class B Licensee or any change in job position or status that would result in a change in key access;
- (E) alarms for overdue keys, open doors, unauthorized attempts to access, and any other unusual activities;
 - (F) system override procedures that require the use of two keys issued to individuals in different departments to access the box and the use of a manual sensitive key log; and
 - (G) immediate notification of an MGC agent in the event of system failure.
- 1.06 All keys and individuals authorized to access keys in the automated system shall be the same as those authorized on the key access list and access granted in the individual employee's job description.

§ 2 Procedures

- 2.01 Each sensitive key box custodian shall maintain a sensitive key access list noting authorized job titles that may access each sensitive key.
- 2.02 Whenever dual locks are required, two (2) different keys shall be required to access the controlled area. The two keys shall be issued to employees from two different departments and each key shall be independently signed out.
- 2.03 Keys which require issuance under security or management escort shall be identified as such on the sensitive key access list and the key log entries shall indicate who originally escorted the key.

§ 3 Key Access List

- 3.01 A current and accurate key access list shall be maintained for each sensitive key box (excluding duplicate key boxes). The list shall be posted at the key box and a copy shall be given to the MGC boat supervisor.
- (A) The list shall include the:
 - (1) key ring number, if applicable;
 - (2) key identifier/stamp on the key (must be unique for each key name);
 - (3) name of the key;
 - (4) location of the key;
 - (5) custodian of the key;
 - (6) quantity of the key(s); and
 - (7) job titles authorized to sign out the key and, if applicable, escort requirements and specific limitations.

*Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005 (4.01 – deleted Key Name and 6.01 (F) – added security requirement). Revised October 30, 2007 (Sections 1.04, 4.02 and 6.01). Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised June 30, 2011 (1.03, 1.05, 1.06, 3.01, 4.03, 5.01 and 7.01, added section 8). Revised June 30, 2011. Revised **TBD** (Revised 1.01 and 4.02).*

**MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS**

- (B) If any non-sensitive keys are maintained in the key box, they must be included on the sensitive key access list and denoted as non-sensitive on the list.
- 3.02 The custodian of duplicate keys shall maintain a duplicate sensitive key access list posted at each duplicate key box documenting:
- (A) name of the key, which shall be identical to the key name on the sensitive key access list;
 - (B) the key number;
 - (C) key identifier/stamp on the key (must be unique for each key name); and
 - (D) the job titles authorized to sign out the key and, if applicable, escort requirements.
- 3.03 The Internal Control System shall indicate which employees have the authority to make changes, deletions and/or additions to the sensitive key access lists and duplicate sensitive key access lists.

§ 4 Key Log

- 4.01 All sensitive keys shall be issued after proper completion of a sensitive key log, which shall include:
- (A) date;
 - (B) key number or ring number;
 - (C) individual/automated key box issuing key;
 - (D) individual receiving key;
 - (E) time key signed out;
 - (F) time key signed in;
 - (G) individual returning key; and
 - (H) individual/automated key box receiving returned key.
- 4.02 The individual who signs out a sensitive key shall maintain custody of the key until the key is returned to the sensitive key box. Keys shall not be passed to other individuals, except keys utilized in the soft count room as noted below. In the event of an emergency (illness or injury rendering the individual incapable of returning the key) a supervisor may return the key with a notation on the Sensitive Key Log. If an automated key system is used and an emergency warrants the need for a supervisor to return a key for an individual, an explanation shall be documented as described in the Internal Control System. The only keys that may be passed are keys utilized within the soft count room, which may be issued to the count team lead and distributed to other count team members only while inside the locked count room.

*Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005 (4.01 – deleted Key Name and 6.01 (F) – added security requirement). Revised October 30, 2007 (Sections 1.04, 4.02 and 6.01). Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised June 30, 2011 (1.03, 1.05, 1.06, 3.01, 4.03, 5.01 and 7.01, added section 8). Revised June 30, 2011. Revised **TBD** (Revised 1.01 and 4.02).*

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS

- 4.03 Upon completion, sensitive key logs shall be forwarded at specified intervals to the Accounting department where they shall be reviewed and retained. If any discrepancies are found they shall be investigated and documented.

§ 5 Duplicate Keys

- 5.01 A duplicate key inventory log shall be maintained documenting the current issuance, receipt and inventory of all duplicate sensitive keys. The duplicate key inventory log shall include the following information:

- (A) date and time;
- (B) key name, which shall be identical to the key name on the sensitive key access list;
- (C) key number;
- (D) number of keys in beginning inventory;
- (E) number of keys added or removed;
- (F) number of keys in ending inventory;
- (G) reason for adding or removing keys;
- (H) signatures of the two individuals accessing the box; and
- (I) signature of the individual receiving the key.

- 5.02 An inventory of duplicate sensitive keys shall be maintained in such quantity that there shall always be at least one duplicate sensitive key in inventory for each sensitive key. The duplicate sensitive keys shall be maintained in a duplicate sensitive key box.

§ 6 Broken, Lost or Missing Keys

- 6.01 The Internal Control System shall include procedures in the event a sensitive key is broken as to which employee shall receive and replace the broken key, disposition of the broken key and notification to the MGC boat agent on duty.
- 6.02 The Internal Control System shall include procedures to be followed when a sensitive key is lost, missing, or taken from the premises.
- 6.03 The Internal Control System shall include procedures for investigating and reporting missing sensitive keys. The MGC boat agent on duty shall be notified immediately of any missing or lost sensitive keys.

§ 7 Required Sensitive Keys

- 7.01 At a minimum, the following keys shall be considered sensitive keys:

*Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005 (4.01 – deleted Key Name and 6.01 (F) – added security requirement). Revised October 30, 2007 (Sections 1.04, 4.02 and 6.01). Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised June 30, 2011 (1.03, 1.05, 1.06, 3.01, 4.03, 5.01 and 7.01, added section 8). Revised June 30, 2011. Revised **TBD** (Revised 1.01 and 4.02).*

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS

- (A) EGD Central Processing Unit Key;
- (B) EGD Main Door Key (the key allowing access to the internal components of the EGD);
- (C) keys allowing access to areas housing Critical IT Systems and equipment;
- (D) Token Box Key;
- (E) Bill Validator Door and Box Release Key;
- (F) Bill Validator Contents Key (shall have a Security escort for anyone other than count room employees);
- (G) EGD Belly Glass Key;
- (H) Self-Redemption and/or Bill Breaker Kiosk Keys (Dual locks);
- (I) Wide Area Progressive Controller Compartment Key;
- (J) Table Game Drop Box Content Key (shall only be accessible to count room employees);
- (K) Table Game Drop Box Release Key;
- (L) BV and Table Drop Storage Cart Keys;
- (M) Table Games Chip Bank C over Key;
- (N) Table Games Chip Tray Key;
- (O) Progressive Table Games Controller Key (to adjust progressive jackpot meters or access CPSM game programs);
- (P) EGD Progressive Controller and Compartment Keys;
- (Q) Reserve Chip Storage Keys (Dual locks);
- (R) Card and Dice Storage Area Keys (Dual locks);
- (S) Secondary Chip Storage Keys (Dual locks);
- (T) Access Door Key to any Sensitive or Controlled Area (e.g., cage, surveillance, Information Technology (IT) room(s), poller room, etc.);
- (U) Window Key (key to any cage or slot bank);
- (V) Vault Keys (Dual locks);
- (W) Soft Count Room Keys (Dual locks);
- (X) Accounting/Audit Box Key;
- (Y) Key to whiz machines;
- (Z) EGD Top Box Key;
- (AA) Poker Drop Box Contents Key;
- (BB) Bad Beat Drop Box Contents Key; and
- (CC) any keys not listed above controlling access to cash, cards, dice, or chip storage areas.

§ 8 Proximity Cards Used to Access Sensitive Areas

8.01 Proximity cards which are not maintained in a sensitive key box may be used in lieu of a sensitive key to access the following sensitive areas:

*Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005 (4.01 – deleted Key Name and 6.01 (F) – added security requirement). Revised October 30, 2007 (Sections 1.04, 4.02 and 6.01). Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised June 30, 2011 (1.03, 1.05, 1.06, 3.01, 4.03, 5.01 and 7.01, added section 8). Revised June 30, 2011. Revised **TBD** (Revised 1.01 and 4.02).*

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER B – KEY CONTROLS

- (A) Information Technology (IT) room(s);
 - (B) Areas housing Critical IT Systems;
 - (C) Cage;
 - (D) Card and Dice Inspection Room; and
 - (E) Surveillance.
- 8.02 If a proximity card system is used to access sensitive areas, the cards shall be individually assigned. Any employee who is assigned a proximity card shall maintain possession of that card at all times and shall not allow his/her card to be used to allow unauthorized access to a sensitive area.
- 8.03 The system shall be capable of producing a report detailing the following information:
- (A) card number;
 - (B) name of employee to whom the card is assigned; and
 - (C) sensitive areas which can be accessed by the card.
- 8.04 The system shall be capable of logging access to sensitive areas identifiable by card number and shall include the date and time. The system shall be able to provide reports for a complete audit trail of all access including:
- (A) the identity of the proximity card;
 - (B) identity of the employee to whom the card is assigned;
 - (C) date and time;
 - (D) unauthorized attempts to access sensitive areas; and
 - (E) all entries, changes, or deletions in the system and the employee who did so.
- 8.05 The Internal Control System shall specify the job position(s) in charge of the proximity card system and job positions authorized to make changes in the proximity card system. Changes must be made in the system within 72 hours of an employee being suspended by the Class B Licensee or any change in job position or status that would result in a change in access to sensitive areas allowed by the proximity card.
- 8.06 The Internal Control System shall include procedures to be followed when a proximity card is lost, missing, or stolen. These procedures shall include immediately disabling the proximity card and immediately notifying the MGC agent on duty.
- 8.07 The Internal Control System shall include procedures to be followed in the event of proximity card system failure.

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

PROPOSED AMENDMENT

11 CSR 45-9.106 Minimum Internal Control Standards (MICS)—Chapter F. The commission is amending section (1).

*PURPOSE: This amendment changes the internal controls for Chapter F of the **Minimum Internal Control Standards** by removing unnecessary language and lessening staffing requirements for deck inspections.*

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission’s opinion satisfy 11 CSR 45-9.020, as set forth in *Minimum Internal Control Standards* (MICS) Chapter F—Poker Rooms, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter F does not incorporate any subsequent amendments or additions as adopted by the commission on *[July 30, 2014]* **October 31, 2018**.

AUTHORITY: sections 313.004, [RSMo 2000, and sections] 313.800, 313.805, 313.812, 313.817, and 313.830, RSMo [Supp. 2014] 2016. Original rule filed Jan. 26, 2012, effective Aug. 30, 2012. Amended: Filed Oct. 25, 2012, effective June 30, 2013. Amended: Filed March 28, 2013, effective Dec. 30, 2013. Amended: Filed July 31, 2014, effective Feb. 28, 2015. Amended: Filed Nov. 1, 2018.

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

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MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

CONTENTS

<u>Section</u>	<u>Page</u>
§ 1. General	F-2
§ 2. Supervision	F-2
§ 3. Banks and Transactions	F-3
§ 4. Table Inventory	F-4
§ 5. Impressment of a Poker Table	F-4
§ 6. De-Pressment of a Poker Table	F-5
§ 7. Drops and Counts	F-5
§ 8. Poker Cards	F-6
§ 9. Opening of Poker Tables	F-10
§ 10. Closing of Poker Tables	F-11
§ 11. Bad Beat and Special Hand Jackpots	F-11
§ 12. Handling Chips	F-12
§ 13. Clearing of Hands	F-12
§ 14. Movement or Disposal of Poker Games	F-12
§ 15. Cashless Systems	F-13

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised October 30, 2007. Revised August 30, 2012. Revised June 30, 2013. Revised December 30, 2013. Revised February 28, 2015 (revised 8.08). [Revised TBD \(revised 7.03 and 8.03\).](#)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

§ 1 General

- 1.01 Poker games in which the Dealer does not play a hand and a commission is collected by the Class B Licensee shall be played only in an approved Poker Room, unless otherwise approved in writing by MGC. The rules in this chapter shall apply to all of these games. All other poker games in which the Dealer plays a hand and the player competes against the Dealer shall be played at gaming tables which are part of a pit on the gaming floor and are governed by rules contained in Chapter D of the Minimum Internal Control Standards.
- 1.02 The Class B Licensee shall have current approved rules of the games for poker in Chapter C of the Internal Control System. These rules shall be immediately available for review in the Poker Room for patrons, employees and MGC personnel. All revised or rescinded house rules shall be kept on file for five years and shall be immediately available for at least one year.
- 1.03 Poker table layouts shall comply with the table layout standards established in MICS, Chapter D.

§ 2 Supervision

- 2.01 Each Poker Room shall be under the general control of a Poker Manager or Table Games Manager and the direct oversight of at least one Poker Supervisor. Poker Supervisors shall be solely dedicated to supervising Poker personnel and all activities within the Poker Room when the Poker Room is opening, in operation, or closing at the end of the gaming day. At least one Poker Supervisor shall be on duty in the Poker Room providing direct supervision for every 12 open poker tables. A Poker Supervisor may operate the Poker Room Bank, if so authorized in the Internal Control System. A Poker Supervisor operating the Poker Room Bank shall not supervise more than six open tables.
- 2.02 If a Class B Licensee uses job titles other than “Poker Manager” and “Poker Supervisor,” the Internal Control System shall specify which job titles used by the licensee correspond to these positions and ensure the job descriptions of those positions and any other poker-related positions properly describe the duties assigned by this chapter and 11 CSR 45-5.
- 2.03 Notwithstanding the provisions of MICS, Chapter A § 1.06, Dual-Rate Poker Dealer(s) may relieve the Poker Supervisor for up to a total of 60 minutes per shift for breaks and revert back to being a Poker Dealer. Dual-Rate Dealer/Supervisors shall not accept tips while serving as Supervisors nor shall they approve any of their own work.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised October 30, 2007. Revised August 30, 2012. Revised June 30, 2013. Revised December 30, 2013. Revised February 28, 2015 (revised 8.08). [Revised TBD \(revised 7.03 and 8.03\)](#).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

§ 3 Banks and Transactions

- 3.01 If a Poker Room Bank is used, the Internal Control System shall state whether the bank is operated as a branch of the cage by a Cage Cashier or if the staffing of the bank is the responsibility of the Poker Manager, Poker Supervisor, or a Brush Person. The Poker Room Bank shall only conduct even exchanges involving cash or chips. However, cash-only tournament buy-ins may be conducted at the Poker Room Bank, if they are subsequently transferred to the Main Bank prior to the end of shift. Tournament payouts shall not be conducted at the Poker Room Bank. If the Class B Licensee has a poker room cage the standards in MICS Chapter H shall apply.
- 3.02 At the beginning of each shift the incoming individual shall count all the assets in the Poker Room Bank and prepare and sign a Cashier/Bank Count Sheet. A reconciliation shall be performed of the opening imprest amount to the closing inventory total. Any variance shall be documented on the count sheet.
- 3.03 At the end of each shift, the outgoing individual shall count all assigned assets in the Poker Room Bank and prepare and sign a Cashier/Bank Count Sheet listing the inventory. A blind count shall be performed by the incoming individual. The incoming individual shall sign the completed count sheet attesting to the accuracy of the information in the presence of the outgoing individual. If there is no incoming individual, a Cage Employee or Poker Supervisor shall conduct the blind count and verification and sign the completed count sheet in the presence of the outgoing individual. A reconciliation shall be performed of the opening imprest amount to the closing inventory total. Any variance shall be documented on the count sheet and a variance slip completed.
- 3.04 Transfers between a table bank and the Poker Room Bank or poker room cage shall be authorized by a Poker Supervisor and evidenced by the use of a lammer at the table where the exchange originates. The Poker Dealer and Poker Supervisor shall verify the amount of chips to be transferred. The chips shall be transported to the Poker Room Bank where the exchange of chips shall occur. The Poker Dealer and Poker Supervisor shall verify the amount of chips returned to the table prior to the lammer being removed from the table surface. Transfers between table banks and Poker Room Banks or cashier cages within the Poker Room do not require a Security escort.
- 3.05 Transfers between the Poker Room Bank and other cashiering locations shall be properly documented on an Even Exchange Slip.
- 3.06 The transfer or exchange of value chips between poker tables is strictly prohibited.
- 3.07 The Class B Licensee shall only exchange cash for chips with patrons at the Poker Room Bank or Casino Cage.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

§ 4 Table Inventory

- 4.01 Chips shall only be added or removed from the table inventory to:
- (A) perform even exchanges with patrons;
 - (B) perform even exchanges with the Poker Room Bank or Casino Cage;
 - (C) “color up” tips, rake, or bad beat contributions to a higher denomination;
 - (D) restore or rectify the imprest amount following the proper documentation of a table inventory variance; and
 - (E) perform even exchanges with the pot to allow for blind and ante wagers, tips, and rake and bad beat collections.
- 4.02 Table banks shall be maintained on an imprest basis and carried on the Main Bank/Vault Accountability form. Table banks shall be maintained in trays, which are permanently attached to the tables and covered with transparent locked lids when the tables are closed. In case of an emergency (i.e., power outage, medical emergency at the table, etc.), the transparent lid will be locked over the inventory until normal play resumes.
- 4.03 The Table Inventory Slip is at least a two-part form. The original is the “closer” and the duplicate copy is the “opener.”
- 4.04 Anytime a poker table that has been opened for play is closed, complete closing procedures shall be followed, including the counting, verifying, recording, and securing of the chips in the tray, as well as the proper removal of the cards that were in play. If the table is reopened again on the same gaming day, complete opening procedures shall be followed, including the counting and verifying of chips in the tray and inspecting of cards.
- 4.05 Each incoming Poker Dealer to a poker table shall count the table inventory to verify the imprest amount is present. If a discrepancy is found, the Poker Dealer shall immediately notify the Poker Supervisor before allowing any game play. Once verified, the Poker Dealer is accountable for the contents of the table tray and shall remain at the table until relieved by another Poker Dealer or the table is closed.

§ 5 Imprestment of a Poker Table

- 5.01 The Main Banker or Poker Supervisor shall prepare a two-part Funds Transfer Slip from the Main Bank to the specific poker table.
- 5.02 The Main Banker preparing the chip transfer shall sign the Funds Transfer Slip. The Security Officer shall verify the chips to be transferred. Once the chips are verified, the Security Officer shall sign the Funds Transfer Slip. The Security Officer shall take the

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

original Funds Transfer Slip along with the chips, secured in a clear container, from the Main Bank to the specified poker table. The duplicate copy of the Funds Transfer Slip shall remain in the Main Bank for accountability purposes.

- 5.03 The Security Officer shall place the clear container with the inventory on the poker table to be impressed. The Poker Dealer shall remove the chips from the clear container and both the Poker Dealer and Poker Supervisor shall verify the chips to the Funds Transfer Slip. Once the chips are verified, the Poker Dealer and Poker Supervisor shall sign the Funds Transfer Slip. The Poker Supervisor shall deposit the original Funds Transfer Slip in the poker rake drop box.

§ 6 De-Impressment of a Poker Table

- 6.01 The Poker Supervisor shall complete a Funds Transfer Slip.
- 6.02 The Poker Dealer and Poker Supervisor verifying the chip transfer shall both sign the Funds Transfer Slip and place the chips into a clear container. The Security Officer shall verify the chips to be transferred and then sign the Funds Transfer Slip. The Security Officer shall take the original Funds Transfer Slip along with the chips, secured in a clear container, from the specific poker table to the Main Bank. The duplicate copy of the Funds Transfer Slip shall be deposited in the poker rake drop box.
- 6.03 The Security Officer shall present the clear container with the chips to the Main Banker. The Main Banker shall remove the chips from the clear container and verify the chips to the Funds Transfer Slip. Once the chips are verified, the Main Banker shall sign the Funds Transfer Slip. The Main Banker shall forward the original copy of the Funds Transfer Slip to Accounting.

§ 7 Drops and Counts

- 7.01 The procedures for the collection of poker rake and bad beat drop boxes and the count of the contents shall comply with MICS, Chapter G with the following exceptions:
- (A) The drop device may be secured to the table with a chain or cable in lieu of the use of a lock;
 - (B) If the box is transparent and visible to fixed surveillance coverage, the drop device is not required to have a mechanism that automatically closes and locks the slot opening upon removal of the drop device from the poker table; and
 - (C) If the bad beat drop box contents are consolidated in the Poker Room, the bad beat drop boxes are not required to be permanently imprinted with game and table number identifiers.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

- 7.02 The procedures for collection of toke boxes and the count of the contents shall comply with the standards in MICS, Chapter T.
- 7.03 Class B Licensees are permitted to “color up” the rake and bad beat contributions from a lower denomination to a higher denomination prior to insertion into the respective drop box, if the following procedures are followed:
- (A) When the “color up” occurs, the Poker Dealer shall deposit an equal value of higher denomination chip(s) into the drop box and place the lower denomination chips into the chip tray; and
 - (B) If the collection occurs across multiple hands, a transparent cylinder/tube shall be attached to the table to maintain the chips until “colored up.” The cylinder/tube shall have a capacity of no more than 25 chips.

§ 8 Poker Cards

- 8.01 Receipt and storage of poker cards shall be conducted in compliance with 11 CSR 45-5.185.
- 8.02 At the beginning of the gaming day or, in the alternative, at least once each gaming day, the Poker Room Manager or Pit Manager in the presence of a Security Officer shall remove poker decks from the primary storage area and transport them to the Poker Room after notifying Surveillance. Decks shall be given to the Poker Supervisor for distribution to the Poker Dealer at each table. Extra decks shall be placed into a single locked compartment of a pit stand located within the Poker Room. The Poker Supervisor shall have access to the extra decks of poker cards to be used for that gaming day.
- 8.03 Prior to being placed into play, all decks shall be inspected by the Poker Dealer. Card inspection at the gaming table shall require each deck to be sorted into sequence and into suit to ensure that all cards are in the deck. The inspection shall also include checking the entire back of each card to ensure that it is not flawed, scratched or marked in any way.
- (A) If, after checking the cards, the Poker Dealer finds that a card is unsuitable for use, the deck shall be removed from play and a Poker Supervisor shall bring a replacement deck from the pit stand.
 - (B) The unsuitable card(s) shall be placed in a transparent sealed envelope or container, identified by the table number, date, and time and shall be signed by the Poker Dealer and Poker Supervisor assigned to that table. The Poker Supervisor shall maintain the envelope or container in a secure place within the Poker Room until collected by a Security Officer.
 - (C) The remaining incomplete deck shall be maintained in a separate container in a secure place within the Poker Room until collected by a Security Officer.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

- (D) The Poker Supervisor shall record on the collection envelope or container the table number, date and time the cards were placed on the table and then sign the collection envelope or container.
- 8.04 All envelopes and containers used to hold or transport poker cards collected by Security shall be transparent.
- (A) The envelopes or containers and the method used to seal them shall be designed or constructed so that any tampering shall be evident.
 - (B) The envelopes or containers and seals shall be approved by the MGC.
- 8.05 Any cards which have been opened and placed on a poker table shall be changed at least once every six (6) hours.
- 8.06 The licensee shall remove any poker cards from use and immediately notify the MGC Agent on Duty any time there is any indication of tampering, flaws, scratches, marks or other defects that might affect the integrity or fairness of the game. A Card Discrepancy Report shall be completed and delivered with the card(s) to the Agent on Duty. The Agent on Duty will sign the two (2)-part form, retain the original report and determine whether the card(s) will be retained for further inspection or released for destruction. Security shall maintain the second part of the discrepancy report.
- 8.07 If any cards are damaged during the course of play, the Poker Dealer shall notify the Poker Supervisor and the entire deck shall be removed from play and replaced with a replacement deck from the pit stand.
- (A) The unsuitable card(s) shall be placed in a transparent sealed envelope or container, identified by the table number, date, and time and shall be signed by the Poker Dealer and Poker Supervisor assigned to that table. The Poker Supervisor shall maintain the envelope or container in a secure place within the Poker Room until collected by a Security Officer.
 - (B) The remaining incomplete deck shall be labeled as required and maintained in a separate container in a secure place within the Poker Room until collected by a Security Officer.
- 8.08 When the poker cards are removed from play for the gaming day, or when the table is closed, the cards shall be counted down at the table by the Poker Dealer or an automated shuffler to ensure no cards are missing and placed in an envelope or container. The envelope or container shall identify the table number, date and time the cards were removed from play and shall be signed by the Poker Dealer and Poker Supervisor assigned to the table. The Poker Supervisor shall maintain the envelopes or containers in a secure place within the Poker Room. Prior to the daily collection by Security, a Poker Dealer or above shall sort each deck into sequence and sign the envelope or container.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

- 8.09 At the end of the gaming day or, in the alternative, at least once each gaming day at approximately the same time:
- (A) The Poker Supervisor shall:
 - (1) collect all decks of cards except as provided in (D);
 - (2) place all decks with broken seals that were not put into play in a sealed envelope or container, which identifies the date and time and is signed by the Poker Supervisor; and
 - (3) maintain the envelopes, containers and sealed decks in a secure place within the Poker Room until collected by a Security Officer.
 - (B) After notifying Surveillance, a Security Officer shall collect all poker cards from the Poker Supervisor and log the receipt of the cards on the Card and Dice Collection Log.
 - (C) The Security Officer and Poker Supervisor shall sign the Card and Dice Collection Log. The Security Officer shall then transport the decks with broken seals and the log to the Card and Dice Inspection Room. All sealed decks shall be returned to the primary storage area without inspection.
 - (D) On 24-hour gaming days, cards currently in play during the initial collection may remain in play until sealed decks are delivered to the poker room. These cards shall then be immediately removed from play. If these cards are not collected during the initial collection, Security shall conduct a second collection in accordance with the rules above. The second collection shall occur within six hours of the initial collection allowing a complete reconciliation of all decks for the gaming day.
- 8.10 All poker decks that do not have an intact seal shall be inspected within 48 hours of delivery to the Card and Dice Inspection Room. The cards shall be inspected by a member of the Security Department who has been trained in proper card inspection procedures for tampering, marks, alterations, missing or additional cards or anything that might indicate unfair play.
- 8.11 The inspection of poker decks by Security shall include:
- (A) Verification the decks are sorted sequentially by suit;
 - (B) Inspection of the entire back of each card with an ultraviolet light;
 - (C) Inspection of all sides for crimps, bends, cuts and shaving;
 - (D) Inspection of the entire back for consistent shading and coloring; and
 - (E) Accounting for all cards used during each gaming day, including damaged cards using the Card/Dice Discrepancy Report.
- 8.12 The Class B Licensee shall identify in the Internal Control System a specified number of replacement decks which will be used for replacing unsuitable card(s) in the Card and

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

Dice Inspection Room. The replacement decks shall be maintained in the Card and Dice Inspection Room or Card and Dice Storage Room and kept segregated from all other cards.

- 8.13 If, during the inspection process, any poker cards in a deck are determined to be unsuitable for continued use or decks have missing or additional cards, those cards or decks shall be placed in a sealed envelope or container. Unsuitable cards shall be replaced with a corresponding card from a replacement deck. The MGC Agent on Duty shall be notified by delivery of a two-part Card Discrepancy Report upon completion of the inspection. The MGC Agent on Duty will determine whether the card or deck will be retained for further inspection or released for repackaging or destruction.
- 8.14 Security personnel shall keep a record of all cards removed from the replacement decks. The record shall include time, date, color, value, suit, reason for replacement, and the name of the individual who replaced the card(s). The replacement deck(s) shall be reconciled to the record at least weekly. Once a replacement deck has been depleted to the point it is no longer useful, the remaining cards in the replacement deck shall be destroyed or canceled.
- 8.15 The Security Officer performing the inspection shall complete a Card Inspection Log which shall detail the procedures performed and list the tables from which the cards were removed and the results of the inspection. The Security Officer shall sign the log upon completion of the inspection procedures. Each deck of poker cards which is found suitable for continued use shall be placed in sequential order, repackaged and returned to the primary card storage area for subsequent use.
- 8.16 The Class B Licensee shall:
- (A) Maintain a card inventory ledger for each primary and secondary storage location, which shall document the following:
 - (1) balance of decks on hand;
 - (2) decks removed from storage;
 - (3) decks returned to storage or received from the manufacturer;
 - (4) date of the transaction; and
 - (5) signatures of the Security Officer and the Pit Manager or Poker Room Manager conducting the transaction;
 - (B) Verify on a daily basis the number of decks stored, distributed, destroyed or canceled, and returned to the storage area; and
 - (C) Perform an independent inventory of the cards at least once each calendar quarter.
 - (1) This inventory shall be performed by an employee from compliance or a supervisory Level II licensee from the cage, slot or accounting department and shall be verified to the balance of decks on hand as recorded on the inventory ledger.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

- (2) The employee conducting this inventory shall make an entry and sign the card and dice inventory ledger in a manner that clearly distinguishes this count as the independent inventory.
 - (3) Any discrepancies shall immediately be reported to the MGC Agent on Duty.
- 8.17 Poker cards shall be destroyed or cancelled prior to removal from inventory. The destruction and cancellation of poker cards shall occur in a secure place, the location and physical characteristics of which shall be approved by MGC. The destruction and cancellation of cards shall be performed by a member of the Casino Security Department specifically trained in proper procedures. The destruction/cancellation shall be recorded on the Card and Dice Cancellation/Destruction Log. Methods of destruction and cancellation of poker cards shall be:
- (A) destruction by shredding; or
 - (B) cancellation by drilling a circular hole of at least one-fourth of one inch (1/4") in diameter through the center of each card in the deck or by cutting at least one-fourth of an inch (1/4") off at least one corner from each card in the deck.
- 8.18 Except during the poker card collection process conducted by Security, poker cards shall not be moved outside the Poker Room without a Security escort and notification to Surveillance.
- 8.19 The Class B Licensee shall not allow players to handle cards except as permitted by the Rules of the Game.

§ 9 Opening of Poker Tables

- 9.01 Immediately prior to opening a table, a Poker Supervisor shall unlock the transparent table tray lids in the presence of the Poker Dealer assigned to the table.
- 9.02 The Poker Dealer and Poker Supervisor shall each independently count the chips by denomination and verify the count to the “opener” Table Inventory Slip.
- 9.03 The Poker Dealer and the Poker Supervisor shall sign the Table Inventory Slip attesting to the accuracy of the recorded information.
- 9.04 Once signed, the Poker Dealer shall immediately deposit the “opener” Table Inventory Slip into the poker rake drop box attached to the gaming table.
- 9.05 When a discrepancy arises between the count and amounts recorded on the Table Inventory Slip, a Cage/Bank Variance Slip shall be prepared by the Poker Supervisor,

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

which indicates the date, table number, and a description of the discrepancy/variance. The Cage/Bank Variance Slip shall be signed by the Poker Dealer and the Poker Supervisor and taken to the employee window or Main Bank to restore the table imprest amount. The original copy of the Cage/Bank Variance Slip shall be retained by the Cashier for reconciliation purposes. The duplicate copy shall be dropped in the poker rake drop box to be delivered to Accounting. Variances of \$25 or more at any table shall be reported immediately to the MGC Agent on Duty.

- 9.06 When a poker table is not open for play for seven consecutive gaming days, the poker table inventory shall be counted and verified by either two Poker Supervisors or a Poker Supervisor and a Poker Dealer, who shall prepare a new Table Inventory Slip and place the previous inventory slip and the original of the new slip in the poker rake drop box.

§ 10 Closing of Poker Tables

- 10.01 At the close of the gaming day or when a table is closed, chips remaining at the table shall be independently counted and verified by a Poker Supervisor and a Poker Dealer, who shall prepare a Table Inventory Slip.
- 10.02 After the Table Inventory Slip is signed by the Poker Supervisor and the Poker Dealer, the Poker Dealer shall immediately deposit the original or “closer” in the poker rake drop box.
- 10.03 The Poker Supervisor shall place the “opener” in the table tray and shall lock the lid in place. The information on the form shall be readable through the lid.

§ 11 Bad Beat and Special Hand Jackpots

- 11.01 If the Class B Licensee offers a Bad Beat or Special Hand Jackpot, all funds collected for the jackpot shall be used to fund the primary, secondary, and tertiary jackpots and be available for poker players to win. The percentage of the funds attributable to each jackpot shall be included in the Rules of the Game in the Class B Licensee’s Internal Control Standards. Special hands are hands designated by the Class B Licensee that may be used to accelerate the distribution of the Bad Beat or Special Hand Jackpot (e.g., pocket aces, suited royal).
- 11.02 When a Bad Beat or Special Hand Jackpot is won, the Bad Beat/ Special Hand Payout form shall be prepared.
- 11.03 When a bad beat winner wins \$600 or more, a 1099-MISC shall be created either at the time of the win or by January 31 of the following year. If created at the time of the win a copy shall be attached to the bad beat documentation.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

- 11.04 Surveillance shall be notified and shall visually verify all winning hands when a bad beat or special hand jackpot of \$600 or more is won. The verification by Surveillance shall be documented in the Surveillance Shift Log.
- 11.05 The amount of primary bad beat jackpots and any special hand jackpots shall be prominently displayed at all times in the Poker Room. The amount displayed shall be promptly updated following the count each gaming day by adding the correct percentage of funds that were collected from the previous gaming day. In the event the bad beat jackpot is won and the amount displayed has not yet been updated, the Poker Supervisor shall contact accounting and update the bad beat amount before paying the winners.

§ 12 Handling Chips

- 12.01 When a Poker Dealer is proving chips, they shall cut out the chips in full view of Surveillance and the patron. The Poker Dealer will prove that like stacks are the same, then cut down one stack proving five units and run a finger across the top of each stack. \$25 chips will be cut out in stacks of four units each. One full stack and any incomplete stack of chips shall be splashed in view of Surveillance.
- 12.02 Whenever chips are removed from the Poker Table Bank or when verifying a player's wager, the amount of chips shall be proven for Surveillance.
- 12.03 Poker Dealers shall not color up tips or the bad beat collection from the pot.

§ 13 Clearing of Hands

- 13.01 All Poker Dealers shall clear their hands in view of all persons in the immediate area and Surveillance before and after going to their body and when entering and exiting the game. Clearing of hands means holding and placing both hands out in front of the body with the fingers of both hands spread and rotating the hands to expose both the palms and the backs of the hands to demonstrate that the hands are empty.

§ 14 Movement or Disposal of Poker Games

- 14.01 The Class B Licensee shall:
- (A) notify the MGC Officer-in-Charge in writing and receive written approval at least five days prior to moving or disposing of a poker table;
 - (B) ensure Surveillance coverage of poker tables complies with 11 CSR 45-7.040; and
 - (C) upon completion of movement, obtain MGC verification of Surveillance coverage prior to opening for play.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER F – POKER ROOMS

14.02 At least five days prior to the cancellation of any game, which includes a progressive jackpot that has not been awarded, the Class B Licensee shall submit a plan for disbursement of that jackpot for approval by the MGC per 11 CSR 45-5.300.

§ 15 Cashless Systems

15.01 Any poker game that features cashless wagering shall operate within a closed cashless wagering system independent of the slot accounting system. This system shall comply with the Critical IT System standards in MICS, Chapter S and cashless wagering standards for electronic gaming devices in MICS, Chapter U; except as noted below:

- (A) The calculation of AGR shall be [(poker rake + bad beat collection) – bad beat/special hands payouts];
- (B) Patron buy-in and redemption transactions may be allowed at the poker bank, provided the increase/decrease to the value of the bank is reconciled to the system patron account balances at the end of each shift and during the daily accounting audit. This and other applicable cashiering controls shall be noted in the Internal Control System; and
- (C) The daily accounting audit of the cashless system shall be handled as follows:
 - (1) The Class B Licensee shall, on each gaming day, compare the net changes of the soft meters to the system meters to determine if any variances exist;
 - (2) Any meter variance between the net changes of each game location and the cashless system shall be investigated and documented. Transaction detail reports or other tools shall be used to investigate the cause of the variance; and
 - (3) If more than one variance occurs within a gaming day, the MGC EGD department shall be notified by the end of the next gaming day.

15.02 The system shall maintain accounting records to support the calculation of AGR. During the daily audit the system reports for the rake and bad beat collections shall be reconciled to the actual drop. The bad beat disbursements as noted in the system shall also be reconciled to the payout documentation.

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

PROPOSED AMENDMENT

11 CSR 45-9.109 Minimum Internal Control Standards (MICS)—Chapter I. The commission is amending section (1).

*PURPOSE: This amendment changes the internal controls for Chapter I of the **Minimum Internal Control Standards** by clarifying procedures for progressive jackpot meters and issuing player cards.*

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission's opinion satisfy 11 CSR 45-9.020, as set forth in *Minimum Internal Control Standards* (MICS) Chapter I—Casino Accounting, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter I does not incorporate any subsequent amendments or additions as adopted by the commission on [October 29, 2014] **October 31, 2018**.

*AUTHORITY: sections 313.004, [RSMo 2000, and sections] 313.800, 313.805, 313.812, 313.817, and 313.830, RSMo [Supp. 2014] **2016**. Emergency rule filed July 31, 2014, effective Aug. 28, 2014, expired Feb. 26, 2015. Original rule filed July 31, 2014, effective Feb. 28, 2015. Amended: Filed Nov. 1, 2018.*

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

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

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Tuesday, January 8, 2019, at 10:a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING

CONTENTS

<u>Section</u>	<u>Page</u>	
§ 1.	General	I-2
§ 2.	Locked Accounting Boxes	I-2
§ 3.	Storage of Unused Pre-Numbered Forms	I-2
§ 4.	Signature Records	I-3
§ 5.	Deposit of Admission and Gaming Taxes	I-4
§ 6.	Complimentaries	I-5
§ 7.	Procedures for Monitoring and Reviewing Gaming Operations	I-5
§ 8.	Required Daily Accounting Reviews	I-6
§ 9.	Table Games Statistics	I-11
§ 10.	MGC Reporting Requirements	I-11
§ 11.	Player Tracking and Player Rewards Systems	I-12
§ 12.	Player Cards	I-12
§ 13.	Player Rewards	I-13

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

§ 1 General

- 1.01 The accounting records maintained by each Class B Licensee shall comply with requirements of the MGC Rules and Regulations.
- 1.02 Employees in Accounting who make corrections shall initial by the correction and include their MGC number.
- 1.03 All tournament information shall be maintained by Accounting.
- 1.04 Accounting shall immediately notify MGC when there are reasonable grounds to believe a violation of the rules or regulations has occurred that jeopardizes the protection of assets or the integrity of gaming.
- 1.05 Accounting employees responsible for auditing gaming operations and their direct supervisors shall not participate in any gaming operation which generates documentation reviewed by the Accounting department, unless required by the MICS.

§ 2 Locked Accounting Boxes

- 2.01 A locked accounting box with an insertion slot shall be placed in an area which is accessible to those employees who are required to deposit documents.
- 2.02 The Internal Control System shall designate the accounting employees authorized to access the locked accounting box and remove the contents contained therein.
- 2.03 Once records are placed in the locked accounting box they shall not be accessible to any persons other than the designated accounting employees.

§ 3 Storage of Unused Pre-Numbered Forms

- 3.01 The receipt, issuance, and current inventory of all unused, manual pre-numbered forms shall be controlled by Accounting and documented on the Inventory Log of Pre-Numbered Forms for each set of forms. The Internal Control System shall include a list of all pre-numbered forms used by the Class B Licensee which shall include at a minimum:
 - (A) All types of jackpot slips;
 - (B) Table fill/credit slips;
 - (C) Purchase orders;
 - (D) Gift certificates;
 - (E) Safekeeping Deposit/Withdrawal Form; and
 - (F) Counter checks.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- 3.02 Unused manual pre-numbered forms shall be secured in a locked storage area maintained by Accounting.
- 3.03 Unused manual pre-numbered counter checks, EGD hand paid jackpot slips, table games jackpot slips, table fill slips, and table credit slips issued to various departments by Accounting, shall be stored in one of the following manners. The Internal Control System shall specify which procedure is used.
- (A) The forms shall be stored in a locked manual forms dispensers. Accounting shall be responsible for loading and unloading the manual forms dispensers. Only Accounting and Security shall have access to the manual forms dispenser key. Security shall only access the dispenser to clear a jam. The last copy of each form shall remain intact in the forms dispenser in a continuous, unbroken form.
- (B) Accounting shall place the forms in a sealed bag. When a form is needed, the employee will unseal the bag and use as many forms as required. The used forms shall then be sent to Accounting with the daily paperwork. The presence of these forms in the paperwork received by Accounting shall indicate the bag has been opened. Accounting shall then inventory the forms in the bag by the end of the next gaming day, verify the forms used and forms remaining in the bag, and reseal the remaining forms in a new bag. Any bag used to store the unused forms shall not be reusable once the seal has been broken.
- 3.04 If manual unused pre-numbered forms are stored in sealed bags, Accounting shall perform a monthly inventory of the unused pre-numbered forms that have been issued to other departments to ensure that all forms are accounted for. Documentation of this inventory shall be maintained as described in the Internal Control System.
- 3.05 Accounting shall investigate the loss of any part of a counter check immediately upon discovery that the counter check or any part of the counter check is missing. The results of the investigation shall be documented and maintained for five years. The Class B Licensee shall notify the MGC, in writing, of the loss, disappearance, or failure to account for an original or any part of a counter check within seven days of such occurrence.

§ 4 Signature Records

- 4.01 Dated Signature Cards shall be maintained by the Accounting department for each employee who is required to sign gaming and purchasing documents. Signature Cards may be maintained in an electronic format as long as all required information for each employee is maintained in one computer file.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- 4.02 The Class B Licensee shall maintain an employment record for each gaming employee which includes:
- (A) employee name and MGC license number;
 - (B) current department and job title, as listed on the organizational chart, and effective date;
 - (C) all previous job titles and their effective dates; and
 - (D) termination date, if applicable.
- 4.03 Employment records shall be readily accessible to accounting employees. Records shall be updated within 72 hours of any change.

§ 5 Deposit of Admission and Gaming Taxes (11 CSR 45-11)

- 5.01 Admission and gaming taxes shall be deposited daily into established accounts via an Electronic Funds Transfer (EFT) system employing an Automated Clearinghouse Debit (ACH-Debit) or wire transfer method and paid each banking day via an Electronic Funds Transfer (EFT) system employing a wire transfer method.
- 5.02 Adjustments to AGR resulting in additional tax shall be made when found, reported to MGC, and included in the next weekly tax payment wired to the Missouri Department of Revenue (DOR).
- 5.03 Adjustments to AGR resulting in a tax credit to the Class B Licensee shall be claimed:
- (A) during the same weekly tax period of the date corrected if found and reported to MGC during that weekly tax reporting period; or
 - (B) only after MGC approval, as defined in 11 CSR 45-11.110, if found outside the weekly tax reporting period.
- 5.04 If related to negative AGR, then the adjustments shall be made within the same weekly tax period as defined in 11 CSR 45-11.030(1) unless the negative AGR occurs on Tuesday, then the adjustment is subject to MGC approval, as defined in 11 CSR 45-11.110.
- 5.05 Tax shall be paid daily on drops as they occur. On non-drop days, the tax shall be paid daily, using the amounts on the computer monitoring system. When the EGDs are dropped and counted, the amounts reported on the tax remittal (per the computer monitoring system) shall be reconciled and adjusted by the end of the tax reporting week.
- 5.06 Any type of promotional award, coupon, point redemption or mechanism other than EGD game winnings that results in credits being issued to EGDs shall be included in the drop for the purpose of calculating AGR.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

§ 6 Complimentaries (11 CSR 45-8.040 and 11 CSR 45-9.040)

- 6.01 Complimentaries (comps) are goods or services provided free of charge to casino patrons as a courtesy at the Class B Licensee’s discretion. Points earned by patrons shall not be considered comps.
- 6.02 The Class B Licensee shall maintain detailed records supporting the costs of complimentary goods and services.
- 6.03 The following information shall be recorded on each comp source document:
 - (A) full retail price normally charged for the goods or services; and
 - (B) signature and MGC license number of the employee issuing the comp.
- 6.04 If a Class B Licensee allows employees to issue comps, the Internal Control System shall specify the positions authorized to issue comps.
- 6.05 Employees shall not accept comps as tips or gifts from patrons.

§ 7 Procedures for Monitoring and Reviewing Gaming Operations

- 7.01 The formula used to compute the unredeemed liability of chips and tokens in circulation shall be included in the Internal Control System.
- 7.02 Chip and token inventory ledgers shall be maintained by Accounting to record, by denomination, the receipt, disbursement, and destruction of primary, secondary and reserve gaming chips and tokens.
- 7.03 Accounting shall reconcile tickets generated from Phase II testing to the system-generated reports to ensure all funds and tickets are accounted for. Accounting shall verify tickets generated from Phase II testing are redeemed in the system.
- 7.04 Weekly Reviews:
 - (A) If electronic table games are used and the drop amount is known for each table, any variance greater than 1% and more than \$5.00 and all variances greater than \$20.00 between the expected drop amount and the actual drop amount shall be documented and investigated, with the results documented.
 - (B) Any variance greater than 1% and more than \$5.00 and all variances greater than \$20.00 between total currency/tickets/coupons dropped as reported by the EGD computer monitoring system and the actual counted drop reported by soft count for each drop period shall be documented and investigated by Accounting. If Accounting cannot identify the source of the variance, it shall be forwarded to the

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

Slot department for investigation. The findings shall be documented and forwarded to Accounting and the MGC EGD Department.

- (C) Accounting shall review the addition of points to patrons' accounts other than through actual EGD play to verify all additions were properly approved. Accounting shall document the review and any subsequent investigation.

7.05 Monthly Reviews:

- (A) Casino Accounting shall perform a monthly general ledger reconciliation of:
 - (1) AGR - Table Games;
 - (2) AGR - Poker;
 - (3) AGR - EGDs;
 - (4) cage accountability;
 - (5) chip and token liability;
 - (6) ticket liability;
 - (7) progressive jackpot liability; and
 - (8) casino accounts receivable, including, but not limited to, credit instruments.
- (B) Once a month, Accounting or a department independent of the maintenance of the automated key system shall review all changes to personnel status to ensure automated key access was updated to reflect the change within 72 hours of the promotion, demotion, transfer, or termination. Documentation of the review shall be retained.
- (C) Accounting shall, during each calendar month, review a representative sample of approved credit applications to verify that the employee who verified the application and the employee who approved the application match the verifier and the approver as recorded in the system. The review shall also ensure the employee who verified and the employee who approved the application are not the same employee and are authorized to perform those duties. In addition, Accounting shall verify the amount of the credit limit does not exceed the employee's authorization limit and the amount of the credit limit does not exceed the amount of credit requested by the patron.
- (D) For manual counter checks, at least one day each month, verify that all sequentially numbered counter checks that have been issued are accounted for. Investigations shall be performed for all counter checks that are unaccounted for with the investigation being documented.

§ 8 Required Daily Accounting Reviews

- 8.01 Accounting shall retain daily documentation, which identifies the individuals who acted as a dual-rate or dual-position. Accounting shall use this documentation to ensure signatures on gaming documents are of the proper authorization level and as otherwise needed.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- 8.02 The Accounting department for each Class B Licensee shall perform daily audits of the following: admissions, table games, poker, Electronic Gaming Devices, tournaments, casino cashiering, player tracking, currency transaction reporting, sensitive key access, and other areas deemed appropriate by the MGC for appropriateness and accuracy. The daily audit packets shall indicate the individual performing the audit. The currency transaction reporting audit may be completed by the Compliance department in lieu of Accounting.
- (A) Admissions:
- (1) analyze and compare the turnstile meter reading reports and ticket/card swipe reports for each gaming day for proper completion and accuracy of information;
 - (2) manually or electronically verify the opening turnstile readings to the prior day's closing turnstile readings;
 - (3) compare the difference between the boarding turnstiles and exit turnstiles and investigate any variance over 2%; and
 - (4) review the turnstile meter reading spreadsheet for any unusual occurrences (i.e., negative numbers, extremely large or small numbers).
- (B) Table Games:
- (1) compare manual table game fill slips, credit slips, and counter checks to duplicate copies to verify agreement;
 - (2) reconcile the table game fill slips, credit slips, and counter check issue slips to the Master Gaming Report. All slips shall be accounted for and any missing slips shall be investigated. The results of the investigation shall be documented;
 - (3) review the table game fill slips, credit slips, and counter check issue slips for the appropriate authorized signatures, accurate arithmetic and all other required information;
 - (4) review all voided table game fill slips, credit slips, and counter checks for the appropriate authorized signatures and all other required information. Ensure all copies of the forms are attached to the original;
 - (5) verify credits, fills, and counter check issue slips are properly recorded for the computation of win;
 - (6) trace the opening inventory amounts from the Table Inventory Slip to the closing inventory amounts on the previous shift's Table Inventory Slip to verify agreement and test for accurate arithmetic and all other required information;
 - (7) trace the total table drop amount from the Master Gaming Report to the Table Soft Count Slip/Currency Counter Machine Tape;
 - (8) trace the detail from the Master Gaming Report into the accounting entries recording the transactions; and
 - (9) trace the counter check issue slips to the Counter Check Accountability to verify the main bank received documentation of all counter checks issued by the Table Games department.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- (C) Poker:
 - (1) trace the opening inventory amounts from the Table Inventory Slip to the closing inventory amounts on the previous shift’s Table Inventory Slip to verify agreement and test for accurate arithmetic and all other required information;
 - (2) trace the total poker drop amount from the Master Gaming Report to the Table Soft Count Slip/Currency Counter Machine Tape; and
 - (3) trace the poker drop from the Master Gaming Report and the Bad Beat drop from the Bad Beat drop documentation to the accounting entries recording the transactions.
- (D) Electronic Gaming Devices:
 - (1) compare the total of the “bills-in”, “tickets-in” and “coupons-in” meter readings as recorded by the on-line EGD computer monitoring system to the actual count performed by the soft count team to verify agreement;
 - (2) examine the EGD Drop/Win Report for proper calculation and to verify the totals to source documents;
 - (3) reconcile tickets redeemed to the system report(s) generated pursuant to MICS, Chapter E;
 - (4) reconcile the jackpot slips to the computerized jackpot report;
 - (5) ensure all copies of jackpot slips in the daily paperwork are matched. All slips shall be accounted for and any missing slips shall be investigated. The results of the investigation shall be documented;
 - (6) review the jackpot slips for the appropriate authorized signatures and all other required information;
 - (7) review all voided jackpot slips for the appropriate authorized signatures and all other required information. Ensure all copies of the forms are attached to the original;
 - (8) review override jackpot slips as defined in MICS, Chapter E for appropriate authorized signatures and the signature of the winning guest;
 - (9) verify jackpots are properly recorded for the computation of win;
 - (10) trace the detail from the EGD Drop/Win report into the accounting entries recording the transactions; and
 - (11) each banking day the Class B Licensee shall record the amount shown on each non-exempt local/in house progressive jackpot meter and accounting shall reconcile each meter’s amount to the progression rate multiplied by the amount-in for the period between which the meter amounts were reconciled. Any variance of five cents (\$.05) or more shall be investigated and the results documented. For the weekly reconciliation required by 11 CSR 45-5.200(2) all variances regardless of the amount shall be investigated and the results documented. Any variances shall be addressed in accordance with 11 CSR 45-5.200(2).
- (E) For tournaments, trace all source documents evidencing tournament fees and payouts to the tournament summary information provided to MGC tax section;

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- (F) Casino Cashiering:
- (1) reconcile the total of EGD jackpots, table games fills, table games credits, and table games jackpots to the totals reported on the Main Bank/Vault Accountability form;
 - (2) trace the table drop, poker drop, bad beat drop, and BV drop from the drop reports to the totals on the Main Bank/Vault Accountability form;
 - (3) verify the beginning balance on the Main Bank/Vault Accountability form to the ending balance of the previous shift's Main Bank/Vault Accountability form;
 - (4) verify all increases and decreases on the Main Bank/Vault Accountability form have documentation to support each change in accountability;
 - (5) verify all cage paperwork is accurately totaled, signed, dated and includes the shift (if required) and location (bank window, etc.);
 - (6) verify both the outgoing and incoming Cage Cashiers sign the completed count sheets attesting to the accuracy of the information. If there is no incoming Cage Cashier, a Cage Supervisor or Main Bank Cashier shall perform the countdown and verify the inventory and sign the count sheet;
 - (7) verify the transactions on the Safekeeping Log reconcile to the Safekeeping Log balance on the Main Bank/Vault Accountability form;
 - (8) if cashier-generated tickets are issued:
 - (a) verify system reports listing all tickets printed by each cashier for the gaming day match the tickets printed transaction detail report generated by each cashier;
 - (b) ensure documentation of cash transfers from each cage window to the main bank for cashier-generated tickets matches the transaction detail report generated by the cashier for that shift; and
 - (c) any variances shall be immediately reported to the MGC;
 - (9) reconcile credit payments received by mail with the payments posted to credit accounts to ensure all payments were posted to the correct account;
 - (10) reconcile the issuance and payment of counter checks to the Counter Check Log;
 - (11) ensure all outstanding credit instruments are deposited within 30 days from the date of issuance by running a system report which shows the status of all credit instruments more than 30 days old or reviewing the Counter Check Log;
 - (12) reconcile the counter checks issued by the cage, counter checks issued by tables, counter checks deposited, and counter checks paid to the totals reported on the Counter Check Accountability form; and
 - (13) examine counter check issue slips and counter check payment slips for proper completion.
- (G) Player Tracking:
Player information and redemption of points entered into the player tracking shall be independently reviewed by the Accounting Department daily.

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- (H) Currency Transaction Reporting:
- (1) verify all table games jackpot winnings and promotional winnings greater than \$3,000 paid in cash and not placed in safekeeping are recorded on the Multiple Transaction Log;
 - (2) verify all safekeeping refunds greater than \$3,000 paid in cash have been recorded on the Multiple Transaction Log for the appropriate day;
 - (3) verify each cash transaction greater than \$3,000 resulting from cashed checks, cash advances, chip redemptions, or ticket redemptions are recorded on the Multiple Transaction Log;
 - (4) verify patron transactions logged on the Multiple Transaction Log during one gaming day in excess of \$10,000 are reported on a CTR;
 - (5) verify all transactions refunded through safekeeping in excess of \$10,000 are reported on a CTR;
 - (6) verify proper identification has been obtained and the description and number of identifications used to verify a patron's identity and address is included on the CTR. If a driver's license is used to identify the patron, both the number and state of issuance shall be recorded;
 - (7) verify that either a clear copy of the patron's identification or a clear surveillance photo of the patron is attached to the CTR. If a surveillance photo is required, verify the required information is recorded on the back of the photo.
- (I) Sensitive Key Access:
- (1) For manual key boxes:
 - (a) review sensitive key logs for proper completion;
 - (b) review sensitive key logs to ensure sensitive keys are issued to personnel who are authorized to receive the keys, as noted in the sensitive key access list in Chapter B of the Internal Control System. Verify that any employees with dual-rate or dual-position status only obtained keys appropriate for the position the employee performed that day; and
 - (c) review the sensitive key logs to ensure that the individual returning the sensitive key was the same individual who received the key. If a supervisor returned a key on behalf of an individual due to an emergency situation, verify that there is a notation on the sensitive key log.
 - (2) For automated key boxes:
 - (a) review sensitive key logs to ensure sensitive keys are issued to personnel who are authorized to receive the keys, as noted in the sensitive key access list in Chapter B of the Internal Control System. Verify that any employees with dual-rate or dual-position status only obtained keys appropriate for the position the employee performed that day;
 - (b) review the key system-generated reports to ensure that the individual returning the sensitive key was the same individual who received the

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- key. If a supervisor returned a key on behalf of an individual due to an emergency situation, verify there is documentation explaining the emergency situation;
- (c) ensure all keys are accounted for by reviewing the key system-generated reports; and
 - (d) review all changes to key access of individuals to ensure they have been properly approved and are consistent with the approved Internal Control System.
- 8.03 All variances or discrepancies found during the required daily accounting reviews shall be documented on an audit exception report, reported to the accounting manager or other position approved by MGC in the Internal Control System, and forwarded to the appropriate department for investigation. The results of the investigation shall be documented on the Audit Exception Report and returned to Accounting within 14 calendar days.
- 8.04 AGR shall be adjusted to reflect any discrepancies found during the required daily accounting reviews.
- 8.05 Voided forms from the daily gaming paperwork shall be bundled and stored with the daily gaming paperwork for each separate audit.

§ 9 Table Games Statistics

- 9.01 Records shall be maintained reflecting statistical drop, statistical win, and statistical win-to-drop percentages for each gaming table and type of game. These records shall be maintained by day, cumulative month-to-date, and cumulative year-to-date.

§ 10 MGC Reporting Requirements

- 10.01 The Statistical Report on Table Games and EGDs shall be reported to the MGC Tax/Financial Section on or before the 15th calendar day of the following month or the next business day if the 15th falls on a weekend or legal holiday.
- 10.02 The following financial statements and schedules shall be reported to the MGC Tax/Financial Section no later than twenty (20) calendar days following the end of the Class B Licensee's fiscal quarter:
- (A) Balance Sheet;
 - (B) Income Statement;
 - (C) Statement of Cash Flows;
 - (D) Statement of Changes in Stockholders' Equity;

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MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- (E) Statement of Changes in Partners' or Proprietors' Equity;
 - (F) Employment and Payroll Report; and
 - (G) Analysis of Cash on hand and in bank and Cage Accountability.
- 10.03 All financial reports required by the MGC shall be prepared in accordance with generally accepted accounting principles (GAAP).
- 10.04 The financial reports described in this section shall be electronically transmitted using the spreadsheet template format and procedures prescribed by the MGC.
- 10.05 Supporting documentation, as required for the electronically transmitted financial reports, shall be submitted to the MGC Tax/Financial Section.
- 10.06 The MGC Tax/Financial Section shall be notified of all adjustments/changes to the financial reports after the transmittal.
- 10.07 After the financial reports are reviewed by the MGC Tax/Financial Section, the Class B Licensee's Accounting department shall provide any additional information requested and make any necessary corrections.

§ 11 Player Tracking and Rewards Systems

- 11.01 The player tracking and player rewards systems shall be secured to prevent unauthorized access. If passwords are used to access the system, they shall be changed at least once every 90 days. The Internal Control System shall specify the physical security and access control measures of the system.
- 11.02 Changes to the player rewards system parameters, such as point structures, shall be authorized by a department independent of MIS. Changes shall be made by employees of the MIS department and documented. Documentation shall include:
- (A) time and date of the change;
 - (B) nature of the change;
 - (C) employee that authorized the change; and
 - (D) MIS employee who made the change.

§ 12 Player Cards

- 12.01 Player cards for new patrons shall not be distributed by mail.
- 12.02 Player cards shall be issued at a ticketing area at or near the entrance to the gaming floor. Player cards may be issued in the pit by Table Games Supervisors, Assistant Pit Managers, and Pit Managers; however, table games employees shall not have system access to establish or reset Personal Identification Numbers (PINs).

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised February 28, 2015 (revised 3.01, 3.03, 3.05, 4.03, 5.01, 7.04, 7.05, 7.06, 8.02, 11.02, and 13.01). Revised TBD (revised 8.02, 12.02, 12.03, 13.03, 13.07, and 13.10).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

12.03 Prior to creating a player reward account and printing a player’s card for a patron, the ticketing employee, Table Games Supervisor, Assistant Pit Manager, or Pit Manager shall require the patron to present a valid government-issued photo identification and confirm the identification matches the physical characteristics of the person presenting the identification.

§ 13 Player Rewards

13.01 Player rewards are points earned by patrons which increment with play and are based on predetermined formulas. These points may be redeemed for downloadable credits, cash, goods, or services. These player reward programs are considered promotions and must meet the requirements of 11 CSR 45-5.181.

13.02 The Class B Licensee shall provide patrons with information regarding the reward structure and point value upon request.

13.03 Employees who issue player cards shall not be allowed to add or adjust points except for Table Games Supervisors, Assistant Pit Managers, and Pit Managers who may only add points through rated play documented on a form identified in the licensee’s internal controls.

13.04 Employees capable of adding points shall not be allowed to redeem points.

13.05 Only supervisors or above shall have the ability to void point redemptions in the system.

13.06 Point redemption procedures shall require a proper segregation of duties. Employees who have access to gaming assets, including cash, tokens, chips, or tickets, shall not be able to generate the source documentation used to process point redemptions.

13.07 The Internal Control System shall list each position that has the ability to add points or perform point adjustments.

13.08 Additions of points to a player’s account other than through actual EGD play shall be documented. Documentation shall include:

- (A) time;
- (B) date;
- (C) amount of the points added;
- (D) reason for the addition; and
- (E) name of the employee who requested the addition.

13.09 Redemption of points for a good or service shall be recorded on the source document at the full retail price normally charged for the good or service.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised February 28, 2015 (revised 3.01, 3.03, 3.05, 4.03, 5.01, 7.04, 7.05, 7.06, 8.02, 11.02, and 13.01). Revised TBD (revised 8.02, 12.02, 12.03, 13.03, 13.07, and 13.10).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER I – CASINO ACCOUNTING
(11 CSR 45-8)

- 13.10 Photo identification or a PIN shall be required prior to a player receiving anything of value when redeeming points from the player rewards system.
- 13.11 PINs shall be established at ticketing.
- 13.12 The following procedures shall be followed when establishing a PIN for a patron’s account:
- (A) the ticketing employee shall require the patron to present a valid government-issued photo identification;
 - (B) the ticketing employee shall verify the photo on the identification matches the physical characteristics of the patron presenting the photo identification; and
 - (C) the patron shall independently and confidentially enter a secure PIN a minimum of two times. The two PINs shall successfully match each time entered.
- 13.13 Should a patron choose to change a known PIN at anytime, the patron must successfully enter the existing PIN followed by an entry of the new PIN a minimum of two times.
- 13.14 If PINs are used and can be reset, the Class B Licensee shall ensure the following procedures are performed when “resetting” a patron’s PIN:
- (A) a supervisor, who does not have the ability to adjust points, shall reset the PIN at the ticketing area and shall confirm the patron’s valid government-issued photo identification matches the physical characteristics of the person presenting the identification and respective fields (i.e., name, date of birth, photo identification type, and number) in the player reward system; and
 - (B) the patron will be required to independently and confidentially enter the “reset” (e.g., PIN) information a minimum of two times. All reset information shall successfully match each time entered.
- 13.15 PINs shall not be accessible to any employee of the Class B Licensee. PINs shall be masked from view on the computer system.
- 13.16 The kiosks used for points-to-cash redemptions shall comply with the requirements set forth for ticket redemption kiosks in the MICS.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (changed Class A to B, and revised all sections). Revised February 28, 2015 (revised 3.01, 3.03, 3.05, 4.03, 5.01, 7.04, 7.05, 7.06, 8.02, 11.02, and 13.01). Revised TBD (revised 8.02, 12.02, 12.03, 13.03, 13.07, and 13.10).

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

PROPOSED AMENDMENT

11 CSR 45-9.116 Minimum Internal Control Standards (MICS)—Chapter P. The commission is amending section (1).

*PURPOSE: This amendment changes the internal controls for Chapter P of the **Minimum Internal Control Standards** by clarifying procedures for determining if an individual is an excluded person.*

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission's opinion satisfy 11 CSR 45-9.020, as set forth in *Minimum Internal Control Standards* (MICS) Chapter P—Excluded Persons, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter P does not incorporate any subsequent amendments or additions as adopted by the commission on *[July 30, 2014]* **October 31, 2018**.

AUTHORITY: sections 313.004, [RSMo 2000, and sections] 313.800, 313.805, 313.812, 313.817, and 313.830, RSMo [Supp. 2014] 2016. Emergency rule filed July 31, 2014, effective Aug. 28, 2014, expired Feb. 26, 2015. Original rule filed July 31, 2014, effective Feb. 28, 2015. Amended: Filed Nov. 1, 2018.

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

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

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Tuesday, January 8, 2019, at 10:a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER P – EXCLUDED PERSONS

CONTENTS

<u>Section</u>	<u>Page</u>
§ 1. Excluded Persons	P-2
§ 2. Procedures for Exclusion	P-2

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B Licensees must comply. Class B Licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Adopted April 30, 2009. Revised February 28, 2015 (revised 2.03 and 2.05). Revised TBD (revised 2.02 and 2.05).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER P – EXCLUDED PERSONS
(11 CSR 45-15)

§ 1 Excluded Persons

- 1.01 An excluded person is an individual who has been placed on the Missouri Gaming Commission (“MGC”) Excluded Persons List, which excludes them from entering all Missouri riverboat gaming operations.
- 1.02 Excluded persons are placed on the MGC Excluded Persons List pursuant to 11 CSR 45-15 et seq. or Section 313.830.4, RSMo.

§ 2 Procedures for Exclusion

- 2.01 If the last known address is available, The Class B Licensee is required to notify the excluded person by certified mail that she/he is no longer welcome on the premises of that Class B Licensee’s riverboat gambling operation within thirty (30) days upon receipt of notice from the MGC. The Class B Licensee is also required to maintain proof of such mailing, along with evidence as to whether or not notice was received. The Class B Licensee shall keep a copy of all such notification letters and copies shall be provided to the MGC Jefferson City office. If the required certified mail notification fails, the Class B Licensee shall maintain the original or a copy of the certified letter. If the excluded person is ever discovered on the premises, the certified letter or copy shall be presented to the excluded person.
- 2.02 The Class B Licensee shall ensure the player’s club, cage, security, table games, or any other department identified by the MGC or the Class B Licensee’s Internal Control System that has a responsibility for detecting Excluded Persons on the gaming floor have access to the current MGC Excluded Persons List.
- 2.03 A current hard or electronic copy of the MGC Excluded Persons List shall be maintained at any location that performs check cashing, processes cash advances, processes credit applications, issues or accepts credit instruments, or processes taxable jackpots, at the player’s club and at any other location where the use of or access to the MGC Excluded Persons List would aid in identifying excluded persons who have gained access to the Class B Licensee’s gaming operation or in preventing excluded persons from entering the Class B Licensee’s gaming operation.
- 2.04 If the Class B Licensee offers player’s cards, the Class B Licensee, upon receipt of the MGC Excluded Persons List or an addition to the List, shall make an entry on any existing excluded person’s player account(s) or, if no account exists, shall create a new account for the excluded individual and make an entry. The entry shall clearly indicate that the individual is an excluded person pursuant to 11 CSR 45-15 and is barred from entering the gaming operation and from receiving a player’s card. The Internal Control System shall specify which job position(s) is (are) responsible for making the entries on the accounts.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B Licensees must comply. Class B Licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Adopted April 30, 2009. Revised February 28, 2015 (revised 2.03 and 2.05). Revised TBD (revised 2.02 and 2.05).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER P – EXCLUDED PERSONS
(11 CSR 45-15)

- 2.05 The Class B Licensee shall identify excluded persons:
- (A) At the player’s club or the pits by examining the patron’s non-expired government-issued photo identification and conducting a search of the individual’s date of birth, including year of birth, listed on the identification to determine if the person is on the exclusion list prior to issuing a player’s card or printing/reprinting a player’s card. If the search generates any names that have the same first or last name as recorded on the photo identification, the licensee shall research further to determine if the individual presenting the ID is an Excluded Person.
 - (1) The search shall be conducted using:
 - (a) the MGC Exclusion List website; or
 - (b) the downloaded exclusion list in a spreadsheet format from the most recent download.
 - (2) The Class B Licensee shall specify in its Internal Control System the method to be used. If the MGC Exclusion List website is used, the Class B Licensee shall use the downloaded MGC Exclusion List when the website is unavailable;
 - (B) At the cage(s) by examining a patron’s valid, non-expired government-issued photo identification and comparing it to the MGC Exclusion List before cashing a check, processing a credit application, issuing or accepting a credit instrument, or processing a cash advance;
 - (C) At a gaming table by examining a patron’s valid, non-expired government-issued photo identification and comparing it to the MGC Exclusion List before issuing a counter check; and
 - (D) Prior to paying any taxable jackpots or taxable promotional winnings by examining the patron’s valid, non-expired government-issued photo identification and comparing it to the MGC Exclusion List.
- 2.06 The Class B Licensee shall not conduct credit transactions with excluded persons or enroll excluded persons in any sweepstakes, tournaments, or other types of promotions. The Class B Licensee shall prior to awarding any sweepstakes, tournament, or promotional prize, verify the winner is not an excluded person.
- 2.07 The Class B Licensee shall remove excluded persons from their mailing lists, such as marketing offers, slot club programs, coupon promotions, and other marketing promotions. This rule shall not be construed to prohibit mass mailings to “Resident” or mass distributions not directed toward specific individuals.
- 2.08 The Class B Licensee shall immediately notify the MGC Agent On-Duty and the senior security officer when an excluded person or an individual suspected of being an excluded person is observed on the premises.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B Licensees must comply. Class B Licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Adopted April 30, 2009. Revised February 28, 2015 (revised 2.03 and 2.05). Revised TBD (revised 2.02 and 2.05).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER P – EXCLUDED PERSONS
(11 CSR 45-15)

- 2.09 If an excluded person is arrested for trespassing on any area of the Class B Licensee’s riverboat operation, the Class B Licensee shall contact the local prosecutor and make themselves available for the criminal proceedings relating to the trespass as filed under Section 569.140, RSMo.
- 2.10 If an excluded person is found to be present at the riverboat gaming operation, a Security Incident Report shall be prepared. In addition to the Security Incident Report requirements in Chapter R, the following shall also be included in the report or attached to the report:
- (A) The date the excluded person was notified of their barred status, as well as the form and substance of the casino’s notification in accordance with 11 CSR 45-15; and
 - (B) A copy of the excluded person’s photo identification, if available.
- 2.11 A copy of the Security Incident Report shall be forwarded to the MGC Agent On-Duty immediately.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B Licensees must comply. Class B Licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Adopted April 30, 2009. Revised February 28, 2015 (revised 2.03 and 2.05). Revised TBD (revised 2.02 and 2.05).

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

PROPOSED AMENDMENT

11 CSR 45-9.117 Minimum Internal Control Standards (MICS)—Chapter Q. The commission is amending section (1).

*PURPOSE: This amendment changes the internal controls for Chapter Q of the **Minimum Internal Control Standards** by clarifying procedures for determining if an individual is a disassociated person.*

(1) The commission shall adopt and publish minimum standards for internal control procedures that in the commission’s opinion satisfy 11 CSR 45-9.020, as set forth in *Minimum Internal Control Standards (MICS) Chapter Q—Disassociated Persons*, which has been incorporated by reference herein, as published by the Missouri Gaming Commission, 3417 Knipp Dr., PO Box 1847, Jefferson City, MO 65102. Chapter Q does not incorporate any subsequent amendments or additions as adopted by the commission on [November 4, 2015] **October 31, 2018**.

*AUTHORITY: sections 313.004, [RSMo 2000, sections] 313.800, **313.805**, 313.812, **313.813**, 313.817, and 313.830, [RSMo Supp. 2014, and sections 313.805, and 313.813,] RSMo [Supp. 2013] **2016**. Original rule filed Aug. 25, 2011, effective March 30, 2012. Emergency amendment filed July 31, 2014, effective Aug. 28, 2014, expired Feb. 26, 2015. Amended: Filed July 31, 2014, effective Feb. 28, 2015. Amended: Filed Nov. 4, 2015, effective June 30, 2016. Amended: Filed Nov. 1, 2018.*

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

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

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Tuesday, January 8, 2019, at 10:a.m., in the Missouri Gaming Commission’s Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER Q – DISASSOCIATED PERSONS

CONTENTS

<u>Section</u>	<u>Page</u>
§ 1. General	Q-2
§ 2. Procedures for Exclusion	Q-2
§ 3. Access to the DAP List	Q-4
§ 4. Discovery of a DAP	Q-4
§ 5. Employees and Self-Exclusion	Q-5
§ 6. Procedures for Removal from the List of Disassociated Persons	Q-5
§ 7. Procedures for Reinstatement of Casino Privileges	Q-5

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (all sections). Revised March 30, 2012. Revised February 28, 2015 (revised 1.03, 2.01, and 2.02). Revised June 30, 2016 (revised 2.01(B), 6.01, and 6.02). [Revised TBD \(revised 1.03, 2.01, 2.02, and 2.05\).](#)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER Q – DISASSOCIATED PERSONS
(11 CSR 45-17)

§ 1 General

- 1.01 A Disassociated Person (DAP) is an individual who has self-reported as a problem gambler, completed and filed a formal application requesting to be excluded from the gaming floor of all Class B Licensees and who has been designated as a Disassociated Person upon approval of the application by the Missouri Gaming Commission.
- 1.02 A “List of Disassociated Persons” shall consist of those persons who have voluntarily complied with the provisions of 11 CSR 45-17.010 to 11 CSR 45-17.030 and have not been removed pursuant to 11 CSR 45-17.060.
- 1.03 The Class B Licensee shall establish procedures to allow patrons (who are not on the List of Disassociated Persons) to enact self-limiting options; e.g., removal from mailing list, restricted check cashing or player card privileges, limit or suspend credit privileges, and elimination from other promotions, etc. These procedures shall be immediately available in hard copy for patrons, employees and Commission personnel at the following locations: player's club, cage, security, or any other department identified by the Gaming Commission or the Class B Licensee’s Internal Control System.

§ 2 Procedures for Exclusion

- 2.01 The Class B Licensee shall:
- (A) Download the updated List of Disassociated Persons (DAP List) from the designated MGC server at least once every seven calendar days and update DAP information in all associated applications within five calendar days of the download of new or updated information. The Internal Control System shall identify the applications that are required to be updated;
 - (B) Upon receipt of the DAP List or an addition to the List, flag any existing disassociated person’s player account(s) in the player tracking system or, if no account exists, create a new account for the disassociated person which clearly denotes that the individual is a disassociated person and is barred from entering the gaming floor or from receiving a player’s card. A generic flag may be used to indicate the individual is barred from entry, however notes within the system shall clearly indicate the individual is a Missouri disassociated person. The Internal Control System shall specify which job position(s) is (are) responsible for flagging the accounts;
 - (C) Remove DAPs from all VIP or club member programs, within 5 calendar days of the download of new or updated information. Any joint account shall be severed;
 - (D) Remove DAPs from all mailing lists (including but not limited to electronic mail, marketing offers, slot club programs, coupon promotions, and other marketing promotions) within 5 calendar days of the download of new or updated information. This rule does not prohibit mass mailings to “Resident” or mass distributions not directed toward specific individuals;

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (all sections). Revised March 30, 2012. Revised February 28, 2015 (1.03, 2.01, and 2.02). Revised June 30, 2016 (2.01(B), 6.01, and 6.02). [TBD 2018 \(revised sections 1.03, 2.01, 2.02, and 2.05\).](#)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER Q – DISASSOCIATED PERSONS
(11 CSR 45-17)

- (E) Ensure the player’s club, cage, table games, security, or any other department identified by the Gaming Commission or the Class B Licensee’s Internal Control System that has a responsibility for detecting DAPs on the gaming floor have access to the Class B’s most current DAP List or the current player account information;
 - (F) Maintain a current hard copy or electronic copy of the DAP List at the player’s club, any table games pit where counter checks are issued or player cards are issued/printed, any cage that performs check cashing, processes credit card transactions, debit card transactions, credit applications, payments of taxable promotional winnings or taxable jackpots, issues or accepts credit instruments, or any other location designated by the Missouri Gaming Commission.
- 2.02 Prior to performing any of the following transactions with a patron, the Class B Licensee shall require the patron to present valid, non-expired government-issued photo identification. The licensee shall perform a search of the individual’s date of birth as listed on the identification in the downloaded DAP List or the MGC Web DAP List to determine whether the patron is a DAP. If the search generates any names that have the same first or last name as recorded on the photo identification, the licensee shall research further to determine if the individual presenting the ID is a DAP. In the event a W-2G is prepared, the Class B Licensee will further verify the name listed on the identification is consistent with the name of the patron recorded on the W-2G. The Class B Licensee shall not perform the following transactions with a DAP:
- (A) Check cashing;
 - (B) Cash advances;
 - (C) Credit card transactions;
 - (D) Processing credit applications;
 - (E) Issuance or acceptance of credit instruments;
 - (F) Debit card transactions;
 - (G) Payment of any taxable jackpots;
 - (H) Payment of any taxable promotional winnings or prizes; and
 - (I) Wire transfers.
- 2.03 The Class B Licensee shall void any jackpot won by a DAP in accordance with 11 CSR 45-5.065.
- 2.04 The Class B Licensee shall not enroll DAPs in any sweepstakes, tournaments, or other types of promotions. The Class B Licensee shall prior to awarding any sweepstakes, tournament, or promotional prize, verify the winner is not a DAP.
- 2.05 Prior to creating a player’s card or printing/reprinting a player’s card, the Class B Licensee shall identify DAPs by examining the patron’s government-issued photo identification and conducting a search of the individual’s date of birth, including year of birth, listed on the identification to determine if the person is on the DAP List. If the

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (all sections). Revised March 30, 2012. Revised February 28, 2015 (1.03, 2.01, and 2.02). Revised June 30, 2016 (2.01(B), 6.01, and 6.02). [TBD 2018 \(revised sections 1.03, 2.01, 2.02, and 2.05\)](#).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER Q – DISASSOCIATED PERSONS
(11 CSR 45-17)

search generates any names that have the same first or last name as recorded on the photo identification, the licensee shall research further to determine if the individual presenting the ID is a DAP.

- (A) The search shall be conducted using
 - (1) The MGC Web DAP List; or
 - (2) The downloaded DAP List in a spreadsheet format from the most recent download.
- (B) The Class B Licensee shall specify in its Internal Control System the method to be used. If the MGC Web DAP List is used, the Class B Licensee shall use the downloaded DAP List when the website is unavailable.

2.06 The Class B Licensee shall provide copies of patron records, including Win/Loss statements, to DAPs upon written request by the DAP, to the extent such information is provided to any other patron. The information provided to DAPs shall be available by mail, even if not available by mail to other patrons, following procedures approved by MGC.

§ 3 Access to the DAP List

3.01 The Class B Licensee shall maintain the DAP List in a manner to ensure the confidentiality of its content. The content of the DAP List outside of the exceptions contained in Chapter 11 CSR 45-17 shall not be disclosed to any party (including members of a DAP's immediate family) without the prior written approval of the Missouri Gaming Commission. Any DAP List that is disposed of shall be shredded or otherwise destroyed in a manner that its content cannot be accessed.

3.02 A Class B Licensee shall remove an employee's access to any in-house DAP system or any list containing DAP data within 72 hours if the employee's job duties no longer require access to the system.

§ 4 Discovery of a DAP

4.01 The Class B Licensee shall immediately notify the Security Department and the MGC boat agent on duty when a DAP is identified on an excursion gambling boat.

4.02 If a DAP is discovered on the gaming floor, a Security Incident Report shall be prepared by the Security Department. In addition to the information required on the Security Incident Report in Chapter R, reports pertaining to DAPs shall include:

- (A) The date and time of identification;
- (B) Employee making identification;
- (C) DAP's full name and address;
- (D) A description of the facts involved in the discovery;

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (all sections). Revised March 30, 2012. Revised February 28, 2015 (1.03, 2.01, and 2.02). Revised June 30, 2016 (2.01(B), 6.01, and 6.02). [TBD 2018 \(revised sections 1.03, 2.01, 2.02, and 2.05\).](#)

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER Q – DISASSOCIATED PERSONS
(11 CSR 45-17)

- (E) A surveillance photo of the DAP shall be taken at the time of the incident;
- (F) Name of the MGC boat agent on duty who was notified; and
- (G) The amount of any voided gambling game payout not awarded pursuant to 11 CSR 45-5.065, if any.

4.03 A copy of the Security Incident Report shall be forwarded to the MGC boat supervisor within 24 hours of the incident.

§ 5 Employees and Self-Exclusion

5.01 Employees on the DAP List shall not be assigned duties which would require them to participate as a player in any gambling activities on any Missouri excursion gambling boat.

§ 6 Procedures for Removal from the List of Disassociated Person

6.01 The Class B licensee shall download the updates at least once every seven calendar days for those individuals who have been removed from the List using the designated MGC server. The Class B licensee shall remove the DAP designation from each individual's account and all associated applications within five calendar days of the download. If a generic flag is used to denote that a person is barred from entry, this flag may remain in place if the person is still excluded from the property; however, the comments should be updated to include the new source of the exclusion and shall not state that the exclusion is based on the Missouri DAP program (i.e., the individual is self-excluded in another state or has been evicted by the property). The Internal Control System shall identify the applications that are required to be updated.

6.02 If the Class A or B licensee chooses to continue the exclusion status of any individual removed from the DAP List, all references and associated programs shall indicate the exclusion originates from the licensee, self-exclusion in another state, or non-voluntary exclusion in another state. No licensee shall indicate to any individual that has been removed from the DAP List that he or she is excluded from the casino based on the Missouri DAP List.

§ 7 Procedures for Reinstatement of Casino Privileges

7.01 The Class A or B licensee shall not be required to reinstate privileges for any person who has been removed from the DAP List. Examples of privileges include access to the gaming floor, gambling, marketing offers, promotions, check cashing, cash advances, etc.

7.02 The licensee may send a document to the MGC granting the MGC the irrevocable authorization to rescind any prior notice of trespass sent to a former DAP for all persons removed from the DAP List.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (all sections). Revised March 30, 2012. Revised February 28, 2015 (1.03, 2.01, and 2.02). Revised June 30, 2016 (2.01(B), 6.01, and 6.02). [TBD 2018 \(revised sections 1.03, 2.01, 2.02, and 2.05\)](#).

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER Q – DISASSOCIATED PERSONS
(11 CSR 45-17)

- 7.03 Until the licensee has restored privileges to the person removed from the DAP List, the licensee shall not send to such person any marketing materials such as those described in section 2.01(D).

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised April 30, 2009 (all sections). Revised March 30, 2012. Revised February 28, 2015 (1.03, 2.01, and 2.02). Revised June 30, 2016 (2.01(B), 6.01, and 6.02). [TBD 2018 \(revised sections 1.03, 2.01, 2.02, and 2.05\).](#)

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 30—Bingo

PROPOSED RESCISSION

11 CSR 45-30.020 Advertising. This rule clarified the amount of money licensees could use for advertising bingo operations pursuant to 313.040(9), RSMo.

PURPOSE: This rule is being rescinded to be consistent with the statutory change.

AUTHORITY: section 313.040, RSMo Supp. 2010 and section 313.065, RSMo 2000. Emergency rule filed June 21, 1994, effective July 1, 1994, expired Oct. 28, 1994. Emergency rule filed Oct. 19, 1994, effective Oct. 29, 1994, expired Feb. 25, 1995. Original rule filed July 11, 1994, effective Jan. 29, 1995. Amended: Filed Dec. 14, 1998, effective July 30, 1999. Amended: Filed July 28, 2010, effective Jan. 30, 2011. Amended: Filed Nov. 1, 2018.

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

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

*NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed rescission with the Missouri Gaming Commission, PO Box 1847, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. A public hearing is scheduled for Tuesday, January 8, 2019, at 10:a.m., in the Missouri Gaming Commission's Hearing Room, 3417 Knipp Drive, Jefferson City, Missouri.*

Title 11—DEPARTMENT OF PUBLIC SAFETY
Division 45—Missouri Gaming Commission
Chapter 40—Fantasy Sports Contests

PROPOSED AMENDMENT

11 CSR 45-40.030 Commission Approval of Procedures. The commission is deleting section (1), amending and renumbering sections (2) and (3), and renumbering each section thereafter.

PURPOSE: This amendment removes duplicative language and gives additional clarification in regard to submitting procedures.

[(1) Prior to operating in Missouri, each applicant for a Fantasy Sports Contest Operator (FSCO) License shall submit procedures to the commission that—

(A) Prevent unauthorized withdrawals from a registered player's account by the licensed operator or others;

(B) Make clear that funds in a registered player's account are not the property of the licensed operator and are not available to the licensed operator's creditors;

(C) Segregate player funds from operational funds;

(D) Maintain a reserve in the form of cash or cash equivalents in the amount of the deposits made to the accounts of fantasy sports contest players for the benefit and protection of the funds held in such accounts;

(E) Ensure any prize won by a registered player from participating in a fantasy sports contest is deposited into the registered player's account within forty-eight (48) hours of winning the prize;

(F) Ensure registered players can withdraw the funds maintained in their individual accounts, whether such accounts are open or closed, within five (5) business days of the request being made, unless the licensed operator believes in good faith that the registered player engaged in either fraudulent conduct or other conduct that would put the licensed operator in violation of sections 313.900 to 313.955, RSMo, in which case the licensed operator may decline to honor the request for withdrawal for a reasonable investigatory period until its investigation is resolved if it provides notice of the nature of the investigation to the registered player. For the purposes of this provision, a request for withdrawal will be considered honored if it is processed by the licensed operator but delayed by a payment processor, credit card issuer, or by the custodian of a financial account;

(G) Allow a registered player to permanently close their account at any time for any reason; and

(H) Offer registered players access to their play history and account details.]

[(2)] (1) For all procedures required by statute to be approved by the commission [E]each applicant shall submit the written description of its procedures and all supporting documents designed to satisfy the requirements [of section (1)] of **Chapter 313, RSMo [this rule] to the commission with the initial application, unless otherwise directed by the commission.**

[(3)] (2) The commission shall review each submission required by [section (2) of this rule and]Chapter 313, RSMo, and shall determine [whether it conforms to the requirements of section (1) of this rule and] whether the procedures submitted satisfy the requirements. If the commission finds any insufficiencies, they shall be specified in writing to the licensee, who shall make appropriate alterations. No FSCO license shall be issued unless and until the procedures are approved by the commission.

[(4)] (3) Once approved, no licensed operator shall alter its procedures unless and until the change is approved by the commission.

[(5)] (4) Each licensed operator shall submit to the commission any change to the approved procedures no less than fifteen (15) days prior to the planned implementation date of the change. The proposed change to the procedures shall be approved or disapproved by the commission. Upon approval, the change may be implemented. If the change is disapproved, the licensed operator shall not implement the change.

[(6)] (5) If at any time the commission determines that a licensed operator's procedures are inadequate or do not comply with the requirements of this chapter or Chapter 313, RSMo, the commission shall notify the licensed operator in writing. Within fifteen (15) days after receiving the notification, the licensed operator shall amend its procedures accordingly and shall submit a copy of the procedures, as amended, and a description of any other remedial measures taken.

[(7)] (6) If a licensed operator plans to disseminate the List of Disassociated Persons (DAP List), the operator shall submit to the commission a plan for the dissemination of the information regarding persons placed on the DAP List, as well as persons who have been removed from the DAP List. The plan shall be designed to safeguard, as best as is reasonably possible, the confidentiality of the information but shall include dissemination to at least the personnel responsible for removing a person on the DAP List from all individually targeted advertising or marketing. Licensed operators may not disclose the name of, or any information about, a person who has been placed on or removed from the DAP List to anyone other than employees and agents of the licensed operator whose duties and functions require access to the information. The plan must be approved by the commission prior to disseminating the information. All information disclosed to any licensed operator regarding anyone placed on or removed from the DAP List shall be deemed a closed record; however, the information may be disclosed as authorized by the individual seeking placement on the DAP List, by law, and through the provisions contained in 11 CSR 45-17.

AUTHORITY: sections 313.915, 313.920, 313.950, and 313.955, RSMo 2016. Emergency rule filed Aug. 29, 2016, effective Sept. 8, 2016, expired March 6, 2017. Original rule filed Aug. 29, 2016, effective March 30, 2017. Filed TBD.

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

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

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