

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

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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 (2.03, 2.05).

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(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, 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

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System shall specify which job position(s) is (are) responsible for making the entries on the accounts.

- 2.05 The Class B Licensee shall identify excluded persons:
- (A) At the player’s club by examining the patron’s non-expired government-issued photo identification and conducting two searches to determine if the person is on the exclusion list prior to issuing a player’s card. One search shall include a search of the first name and date of birth. The second search shall be by last name and date of birth.
 - (1) The searches shall be conducted using at least one of the following:
 - (a) the player tracking system;
 - (b) the MGC Exclusion List website; or
 - (c) a search of the downloaded exclusion list in a spreadsheet format from the most recent download.
 - (2) The Class B Licensee shall specify in the Internal Control System the method to be used. If the MGC Exclusion List website is used the Class B Licensee shall specify the alternative method to be used 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.

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- 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.

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