

MISSOURI GAMING COMMISSION

MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER R – FORMS

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§ 2 General

- 2.01 The forms index is not an all-inclusive list of forms to be used by the Class B Licensee. The Internal Control System shall include a copy of each form discussed in the Class B Licensee’s Internal Control System, other than federal forms, and each form shall be listed in a forms index and a description of required information shall be included in Forms Description section.
- 2.02 The Class B Licensee shall use the forms approved in Chapter R of the Internal Control System.
- 2.03 All information shall be recorded in ink or other permanent form. Monetary corrections to a figure originally recorded may only be made in ink by crossing out the error, entering the correct figure, and obtaining the initials of the employee making the change and the initials of the employee’s supervisor. Non-monetary corrections shall be initialed by the employee making the correction. If an Accounting Department employee makes the corrections after the completion and transfer of the documentation, that individual shall initial the correction(s) and include their MGC license number.
- 2.04 All forms shall include the Class B Licensee’s name and title of the form.
- 2.05 Any forms that are not pre-numbered shall be maintained and controlled by the applicable department manager.
- 2.06 When a multi-part form is required, ensure that each part is distinguishable.
- 2.07 When multi-part forms are required on non-prenumbered forms, the required number of copies may be computer-printed, instead of using a multi-part form. However, original signatures are required on all copies.
- 2.08 Forms provided by the commission shall not be altered if used to satisfy the forms required by this chapter.

§ 3 Signatures

- 3.01 All signatures shall include the employee’s first initial, last name, and the last six digits of the MGC license number which shall be legible.
- 3.02 The Class B Licensee shall indicate in the forms section which forms have an electronic signature. An electronic signature is acceptable only when the signature is auto populated to the form from the employee’s login by the computer system. The signature

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cannot be manually keyed into the report to meet the requirement of an electronic signature.

§ 4 Control of Forms

4.01 Accounting shall be responsible for the receipt, control, and issuance of pre-numbered forms until the applicable operating department receives custody.

§ 5 Numbering

5.01 All manual control forms shall be pre-numbered by the manufacturer.

5.02 All computerized forms shall be sequentially numbered by the computer system.

§ 6 Voiding Forms

6.01 In the event a form has to be voided, the original and all copies shall be marked “void” and accompanied by the signature of the employee voiding the form and an employee verifying the void, with a brief explanation of why it was voided. If a void is required because a sequentially numbered form failed to print, this information, along with the form control number, date, and time, shall be recorded on a supplemental document and retained.

§ 7 Forms Description

7.01 The following represents the forms required by the MICS and the minimum standard information required for each form.

(A) Cards/Dice Inventory Ledgers

- 1) date of receipt, count, or issuance
- 2) quantity of each style/color of cards and dice received/issued
- 3) balance of inventory on hand
- 4) signature of security officer
- 5) signature of pit manager or poker room manager

(B) Cards and Dice Cancellation/Destruction Log

- 1) gaming date decks and dice were used
- 2) date and time of cancellation or destruction
- 3) quantity of decks and dice repackaged, canceled, and/or destroyed
- 4) signature of security officer

(C) Reserved

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- (D) Cashier/Bank Count Sheet
- 1) date and time
 - 2) location of bank
 - 3) amount of each type and denomination of funds;
 - 4) actual count total (closing inventory)
 - 5) accountability total
 - 6) amount of overages or shortages
 - 7) required signatures
- (E) Casino/Cage Multiple Transaction Log
- 1) Location–Casino cage/bank where cash transaction(s) occurred.
 - 2) Date–Date of the multiple transaction log. The log will cover the entire gaming day.
 - 3) Patron Name–Patron’s full name if known or provided by the patron. If patron refuses to provide his/her name, include additional description to help identify person.
 - 4) Patron Description–If patron’s name is unknown, complete description of the patron, including sex, nationality, weight, height, hair color, and any other distinguishing features.
 - 5) Amount–Total cash transaction amount.
 - 6) Transaction Type–Transaction types for casino cages are as follows:
 - a) Cash Out–Cashing personal checks, travelers checks, credit card advance checks, etc.;
 - b) Chip Redemption–Redeeming gaming chips for cash. Include gaming location in comments column;
 - c) Deposit In–Safekeeping deposit;
 - d) Deposit Out–Withdrawing a safekeeping deposit; and
 - e) Other–Any other cash transaction payment of EGD jackpots, and exchanges of currency for currency.
 - 7) Time–Time of the transaction including AM/PM.
 - 8) Employee’s Signature and MGC License Number–Employee logging the transaction must sign the appropriate log entry and include their MGC license number.
 - 9) Comments–Additional information useful in identifying the patron or explaining the transaction.
 - 10) Page ____ of ____ –Page number and total pages of the log for the gaming day (not required on automated versions).
- (F) Chip Inventory Ledger
- 1) date of receipt, issuance and destruction
 - 2) number of each denomination of chips received, issued, or destroyed

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- 3) dollar amount of each denomination of value chips received, issued, or destroyed
 - 4) number and description of non-value chips received, issued, or destroyed
 - 5) required signatures
 - 6) identification of primary value chips held in reserve with the word “reserve”
 - 7) Grand total of each value chip set (i.e., primary, secondary, reserve)
- (G) Safekeeping Deposit/Withdrawal
- 1) preprinted number on all copies
 - 2) patron’s name and signature
 - 3) date of deposit/withdrawals
 - 4) amount of deposit/withdrawals (alpha and numeric)
 - 5) type of deposit/withdrawal
 - 6) reason for deposit
 - 7) required signatures
- (H) Daily Passenger Report
- 1) date
 - 2) cruise times
 - 3) beginning and ending entrance meter readings
 - 4) beginning and ending exit meter readings
 - 5) time the meter readings were taken
 - 6) back to back passenger count (stayovers)
 - 7) total passenger count from meter readings (entrances/exits)
 - 8) total ticket count
 - 9) end of day manual count, if applicable
 - 10) calculated admission tax for the day
 - 11) required signatures
- (I) Duplicate Key Inventory Log
- 1) date and time
 - 2) key name, which shall be identical to the key name on the sensitive key access list
 - 3) key number
 - 4) number of keys in beginning inventory
 - 5) number of keys added or removed
 - 6) number of keys in ending inventory
 - 7) reason for adding or removing keys
 - 8) required signatures of the two individuals accessing the box
 - 9) signature of employee receiving the key
- (J) Tips and Gratuity Deposit
- 1) date
 - 2) amount of chips by denomination

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- 3) total amount of all denominations
- 4) required signatures
- (K) Temporary Bank Voucher
 - 1) date and time
 - 2) location of bank
 - 3) amount of funds issued
 - 4) signature of main bank cashier issuing the funds
 - 5) signature of individual receiving funds
 - 6) signature of individual returning funds
 - 7) signature of main bank cashier receiving returned funds
- (L) Duplication of CPSM Log
 - 1) date
 - 2) manufacturer
 - 3) program number
 - 4) personnel involved
 - 5) disposition of any permanently removed CPSM
- (M) Reserved
- (N) EGD Drop/Win Report
 - 1) gaming date
 - 2) total bill drop
 - 3) total coupon drop
 - 4) total ticket drop
 - 5) total jackpot payouts
 - 6) total CEP In
 - 7) total CEP Out
 - 8) total NCEP In
 - 9) total NCEP Out
 - 10) total drop by denomination
 - 11) total drop all denominations
 - 12) net win (loss) by denomination and total
 - 13) accounting representative's signature
- (O) EGD Entry Access Log (MEAL Book)
 - 1) EGD number and location
 - 2) date and time
 - 3) reason for entry
 - 4) required signatures
- (P) EGD Hand-Paid Jackpot Form
 - 1) date and time
 - 2) EGD number, location and denomination

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- 3) amount of jackpot before taxes are withheld, both alpha and numeric (Alpha is optional if another unalterable method is used for evidencing the amount of the jackpot.)
 - 4) federal taxes withheld
 - 5) state taxes withheld
 - 6) number of credits played
 - 7) game theme and outcome (e.g., reel symbols, card values and suits, scatter pay, etc.)
 - 8) amount paid to patron, both alpha and numeric (Alpha is optional if another unalterable method is used for evidencing the amount paid to patron.)
 - 9) signature of cashier
 - 10) signature of winning guest (only required when a manual procedure or override must be used)
 - 11) signature of the employee paying the jackpot
 - 12) signature of the employee verifying and witnessing the payout
 - 13) preprinted or computer generated sequential number
- (Q) Order for Fill/Credit Form
- 1) designation of fill or credit
 - 2) date and time
 - 3) game/table number and pit
 - 4) amount by denomination
 - 5) table game supervisor's or pit manager's signature
 - 6) cashier's signature
 - 7) security officer's signature
- (R) Reserved
- (S) Even Exchange Slip
- 1) date, time and locations (to and from)
 - 2) amounts to be exchanged by type
 - 3) amounts to be changed for
 - 4) required signatures
 - 5) total exchanged
- (T) Cage/Bank Variance Slip
- 1) date and time
 - 2) location of bank
 - 3) amount of overage or shortage
 - 4) required signatures
- (U) Ingress/Egress Logs (Count Room and Cages)
- 1) date
 - 2) printed name
 - 3) time in and out

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- 4) reason for entry
- 5) required signatures
- (V) Main Bank/Vault Accountability
 - 1) date and shift
 - 2) opening balance
 - 3) amount of each type of accountability transactions
 - 4) detail of the total main bank/vault inventory (currency, coin, chips, safekeeping deposits, unclaimed property account and etc.)
 - 5) total main bank/vault inventory
 - 6) overages and shortages
 - 7) closing balance
 - 8) required signatures
- (W) Master Gaming Report
 - 1) gaming date
 - 2) game and table number
 - 3) table opener
 - 4) total fills
 - 5) total credits
 - 6) total table game jackpots (may be handwritten)
 - 7) table closer
 - 8) total drop per table
 - 9) overall totals by game
 - 10) total win/loss
 - 11) required signatures
- (X) Reserved
- (Y) RAM Clearing Slip
 - 1) date and time
 - 2) EGD number, location and credits played
 - 3) dollar value of all progressive jackpot meters displayed
 - 4) reason for RAM clear
 - 5) required signatures
- (Z) Returned Check Log
 - 1) name and address of the person who presented the check
 - 2) date of the check
 - 3) amount of the check
 - 4) check number
 - 5) date the licensee received notification from a financial institution that the check was not accepted
 - 6) date of entry on the returned check log
 - 7) date(s) and amount(s) of any payments received on the check after being returned by a financial institution

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- (AA) Sensitive Key Log
 - 1) date
 - 2) key number or ring number
 - 3) individual/automated key box issuing key
 - 4) individual receiving key
 - 5) time key signed out
 - 6) time key signed in
 - 7) individual returning key
 - 8) individual/automated key box receiving returned key
- (BB) Signature Card
 - 1) hire date
 - 2) employee name
 - 3) MGC license number
 - 4) exemplar initials
 - 5) exemplar signature (minimum of first initial, and last name)
- (CC) Surveillance Incident Report
 - 1) date and incident report number
 - 2) time and location of incident
 - 3) names and player account numbers of witnesses and subjects involved in the incident, if known
 - 4) detail narrative of incident
 - 5) identification of video tape covering the incident
 - 6) final disposition of the incident
 - 7) required signatures
- (DD) Surveillance Shift Log
 - 1) date
 - 2) beginning time and ending time, name, location, etc. of important or unusual observations
 - 3) items such as, but not limited to, equipment malfunctions related to other logged events or activities, completed tapes, still photograph requests, etc.
 - 4) required signatures
- (EE) Surveillance Release Log
 - 1) record ID, if applicable
 - 2) location recorded
 - 3) date and time period of recording(s)
 - 4) date and time of release
 - 5) receiving department/agency
 - 6) name of individual authorizing the release
 - 7) printed name and signature of individual receiving the recording
 - 8) signature of individual releasing the recording

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- (FF) Surveillance Recording Retention Log
- 1) date and time of log entry
 - 2) date and time period of recording
 - 3) tape number, if applicable
 - 4) location recorded
 - 5) description of the activity recorded
 - 6) reason for retention
 - 7) name and MGC license number of surveillance agent
- (GG) Table Credit Slip
- 1) date, pit, game/table number and time
 - 2) amount of each denomination of chips to be credited
 - 3) total amount of all denomination to be credited
 - 4) signatures of the dealer, table games supervisor, security officer, and cashier
- (HH) Table Fill Slip
- 1) date, pit, game/table number and time
 - 2) amount of each denomination of chips to be distributed
 - 3) total amount of all denomination to be distributed
 - 4) signatures of the dealer, table games supervisor, security officer, and cashier
- (II) Table Inventory Slip
- 1) date and shift
 - 2) game and table number
 - 3) total value of each denomination of chips remaining at the table
 - 4) total value of all denominations
 - 5) signature of dealer closing the table
 - 6) signature of table games supervisor closing the table
 - 7) signature of dealer opening the table
 - 8) signature of table games supervisor opening the table
- (JJ) Table Soft Count Slip/Currency Counter Machine Tape
- 1) date
 - 2) table game and number
 - 3) box contents by denomination
 - 4) total of all denominations
 - 5) required signatures
- (KK) Token Inventory Ledger
- 1) date of receipt, count, issuance and destruction
 - 2) total number by denomination and dollar value received, issued or destroyed
 - 3) total of all denomination received, issued, or destroyed
 - 4) required signatures

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- (LL) Replacement Deck Log
- 1) date and time each card is removed
 - 2) reason for replacement
 - 3) color, value, and suit value of the removed card(s)
 - 4) name and MGC number of individual who replaced the card(s)
 - 5) security officer or table game supervisor's signature
- (MM) Surveillance Ingress/Egress Log
- 1) date
 - 2) printed name
 - 3) time in and time out
 - 4) reason for entry
 - 5) signature of person entering
 - 6) name of the MGC agent authorizing entry
- (NN) Audit Exception Report
- 1) date of exception report
 - 2) date of incident
 - 3) individual(s) involved in the exception
 - 4) brief explanation of the exception
 - 5) signature of the employee preparing the report
 - 6) department the exception report was issued to
 - 7) supervisor signature from department receiving the exception
 - 8) signature of employee responsible for the exception, if known
 - 9) date the report was returned to Accounting
- (OO) Security Incident Report
- 1) Incident report number
 - 2) date and time
 - 3) location of incident
 - 4) date and time of incident
 - 5) type of incident
 - 6) names and addresses of witnesses and subjects involved in the incident, if known
 - 7) detail narrative of incident
 - 8) identification of video tape covering the incident, if applicable
 - 9) security officer's signature
- (PP) Security Incident Log
- 1) date of daily log
 - 2) time of incident
 - 3) incident report number
 - 4) name of reporting security officer and MGC license number
 - 5) summary of incident

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- (QQ) Visitor/Vendor Log
- 1) date
 - 2) visitor's/vendor's printed name
 - 3) company, if applicable
 - 4) time in and out
 - 5) type of badge and badge number
 - 6) purpose of visit
 - 7) visitor's/vendor's signature
 - 8) security officer's signature
- (RR) Key Access List
- 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)
 - 7) job titles authorized to sign out the key and, if applicable, escort requirements and specific limitations
- (SS) Table Games Variance Slip
- 1) gaming date
 - 2) game/table number
 - 3) shift
 - 4) description of discrepancy found
 - 5) signatures of dealer and table games supervisor or two table games supervisors
- (TT) Inventory Log of Pre-Numbered Forms
- 1) name of pre-numbered form
 - 2) date received or issued
 - 3) number sequence of forms received or issued
 - 4) name of department that forms were issued to
 - 5) required signatures and MGC license numbers
- (UU) Gift Log
- 1) name of the gift recipient
 - 2) name and business name of the gift donor
 - 3) description and value of the gift
 - 4) date the gift was received
- (VV) Safekeeping Log
- 1) date of deposit or withdrawal
 - 2) name of patron
 - 3) dollar amount of deposit or withdrawal

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- 4) type of deposit/withdrawal
- 5) total balance of all deposits
- (WW) Card/Dice Discrepancy Report
 - 1) date and time
 - 2) location
 - 3) description of discrepancy found
 - 4) required signatures
- (XX) Remote Access Log
 - 1) name and MGC number of the licensee’s employee authorizing access
 - 2) name and MGC number of vendor employee accessing the system
 - 3) name of user account that vendor used
 - 4) name of vendor
 - 5) name of system(s) accessed by the vendor
 - 6) description of all work performed
 - 7) date and time
 - 8) duration of access
- (YY) Reserved
- (ZZ) Redemption Log
 - 1) date
 - 2) dollar value of each item received by mail
 - 3) check number
 - 4) patron’s name and address
 - 5) signature of employee performing the transaction
- (AAA) Currency Cassette Log
 - 1) date the cassette is filled
 - 2) time the cassette is filled
 - 3) the tamper resistant seal number
 - 4) the unique cassette number
 - 5) amount of cash in the cassette
 - 6) denomination of currency in the cassette
 - 7) _____signature of the main bank cashier who prepared the cassette
 - 8) date the cassette was placed in kiosk and the corresponding kiosk number
- (BBB) Table Games Jackpot Slip
 - 1) date
 - 2) time
 - 3) amount of winnings before taxes (alpha and numeric) (Alpha is optional if another unalterable method is used for evidencing the amount of the winnings before taxes.)
 - 4) amount wagered and the odds of the bet at the time of the wager
 - 5) federal taxes withheld
 - 6) state taxes withheld

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- 7) table game number
 - 8) type of jackpot
 - 9) winning patron's name
 - 10) amount paid to patron (alpha and numeric) (Alpha is optional if another unalterable method is used for evidencing the amount paid to patron.)
 - 11) signature of cashier
 - 12) signature of the dealer
 - 13) signature of the table games supervisor
 - 14) signature of the security officer escorting the funds
 - 15) signature of winning patron
- (CCC) Meter Reading Comparison Report
- 1) date of report
 - 2) asset number
 - 3) dates the readings were taken
 - 4) beginning and ending credits played (soft and accounting system meters)
 - 5) beginning and ending credits paid (soft and accounting system meters)
 - 6) beginning and ending amount-to-drop (soft and accounting system meters) if applicable
 - 7) beginning and ending jackpots paid (soft and accounting system meters)
 - 8) difference between the beginning and ending amount for all meters
 - 9) variance between the meters, if any
 - 10) accounting Signature
- (DDD) Duplicate Sensitive Key Access List
- 1) name of key, which shall be identical to the key name on the sensitive key access list
 - 2) key number
 - 3) key identifier/stamp on the key (must be unique for each key name)
 - 4) the job titles authorized to sign out the key and, if applicable, escort requirements
- (EEE) Card Inspection Log (including Poker)
- 1) date and time
 - 2) detailed inspection procedures performed
 - 3) list of tables from which the cards were removed
 - 4) results of the inspection
 - 5) signature(s) of the individual(s) completing the inspection
- (FFF) Wire Transfer Form
- 1) date and time of request
 - 2) the patron's name
 - 3) patron's address
 - 4) patron's date of birth
 - 5) patron's social security number

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- 6) the identification type, number and expiration
- 7) the anticipated date of patron's arrival
- 8) amount of transfer (alpha and numeric)
- 9) name on the patron's bank account
- 10) patron's financial institution
- 11) patron's bank account number
- 12) routing number
- 13) transaction number
- 14) Cage Supervisor's signature
- 15) Main Bank/Floating Employee Window Cashier's signature
- 16) date and time of confirmation
- 17) signature of the accounting representative confirming the wire transfer
- 18) patron's signature

(GGG) Wire Transfer Return Form

- 1) date and time of request
- 2) patron's name
- 3) patron's date of birth
- 4) the type, number and expiration of identification provided
- 5) amount of wire transfer (alpha and numeric)
- 6) bank fees
- 7) total amount wired out (alpha and numeric)
- 8) name on the patron's bank account
- 9) patron's bank account number
- 10) patron's financial institution
- 11) patron's routing number
- 12) date of wire transfer
- 13) transaction number
- 14) patron's signature
- 15) Main Bank /Floating Employee Window Cashier's signature
- 16) Cage Supervisor's signature
- 17) Staff Accountant's signature

(HHH) Bad Beat/ Special Hand Payout form.

- 1) a description of the cards that comprised the winning poker hand for that pot
- 2) a description of the cards that comprised the winning bad beat hand
- 3) the name of the patron who had the winning poker hand for that pot
- 4) the name of the patron who had the winning bad beat or special hand
- 5) the names of the other payees
- 6) the amount won by each payee
- 7) the time, date, and signature of the employee completing the form

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- (III) Funds Transfer Slip
- 1) amount of each denomination of currency and chips being transferred
 - 2) grand total of all currency and chips being transferred
 - 3) source bank
 - 4) destination bank
 - 5) date
 - 6) time
 - 7) signature of issuing individual
 - 8) signature of receiving individual
 - 9) signature of security officer, if escorted
- (JJJ) Cards and Dice Collection Log
- 1) date and time of collection
 - 2) pit number
 - 3) quantity of each style/color of decks and dice collected from each game by type of game
 - 4) signature of security officer collecting the decks or dice
 - 5) signature of table games/poker supervisor relinquishing the decks or dice
- (KKK) Tip Container Log
- 1) Poker Dealer name and MGC number
 - 2) tip container number
 - 3) date and time issued
 - 4) Poker Dealer signature receiving tip container
 - 5) Poker Supervisor signature issuing tip container
 - 6) date and time returned
 - 7) reason returned (i.e., break, end of shift, emergency)
 - 8) Poker Dealer signature returning tip container
 - 9) Poker Supervisor signature receiving tip container
- (LLL) Unclaimed Property Log
- 1) opening balance of the unclaimed property
 - 2) dollar amount of the transactions that have occurred during the shift
 - 3) total dollar amount of the transactions
 - 4) ending balance
- (MMM) Floating Employee Window Accountability Form
- 1) date and shift
 - 2) opening balance
 - 3) amount of each type of accountability transactions
 - 4) detail of the total floating employee window inventory (currency, coin, chips, safekeeping deposits, unclaimed property account, etc.)
 - 5) total floating employee window inventory
 - 6) overages and shortages
 - 7) closing balance

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- 8) outgoing cashier's signature
- 9) incoming cashier's or verifier's signature

(NNN) Counter Check

- 1) person's name
- 2) person's signature (original and issue slip only)
- 3) counter check number
- 4) date and time of issuance
- 5) amount of credit issued (alpha and numeric)
- 6) location of counter check issuance (table number or cage window number) (issue slip only)
- 7) signature of pit clerk/table games supervisor or cashier preparing the counter check (issue slip only)
- 8) signature of dealer or cashier accepting the counter check (issue slip only)
- 9) signature of approver, if accepted at a gaming table (issue slip only)
- 10) date and time of payment (payment slip only)
- 11) manner of payment (payment slip only)
- 12) amount of payment (payment slip only)
- 13) name of person making payment (payment slip only)
- 14) signature of cashier receiving payment (payment slip only)

(OOO) Counter Check Accountability

- 1) For each counter check:
 - a) patron's name
 - b) document number
 - c) location of counter check issuance (table number or cage window number) (issue slip only)
 - d) dollar amount of each counter check issued at the table
 - e) dollar amount of each counter check issued at the cage
 - f) amount of each counter check deposited
 - g) amount and type of counter check payment
 - h) replacement counter check number and amount
- 2) counter check opening balance
- 3) total amount of counter checks issued at tables
- 4) total amount of counter checks issued at the cage
- 5) total amount of counter checks deposited
- 6) total amount of counter check payments
- 7) counter check closing balance
- 8) physical counted inventory
- 9) amount of variance between closing balance and inventory
- 10) date and shift
- 11) signature of outgoing cashier(s)
- 12) signature of incoming cashier(s)

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(PPP) Counter Check Log

- 1) counter check number
- 2) name of person
- 3) date counter check issued
- 4) date paid
- 5) method of payment

(QQQ) Credit Application

- 1) person's name
- 2) address of the person's residence
- 3) person's telephone number
- 4) bank account information including
 - a) name of the person's bank
 - b) account number of the person's banking account upon which the person is individually authorized to draw and upon which all credit instruments will be drawn
- 5) credit limit requested by the person
- 6) person's signature indicating acceptance of the terms of the credit agreement and attesting to the accuracy of the information provided. (For applications received electronically, the signature may be obtained at a later time prior to the final verification of the credit application.)

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