

## Final Rule

LSA Document #15-113(F)

## DIGEST

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[68 IAC 1-1-8](#); [68 IAC 1-1-21](#); [68 IAC 1-1-25](#); [68 IAC 1-1-26](#); [68 IAC 1-1-27](#); [68 IAC 1-1-29](#); [68 IAC 1-1-30](#); [68 IAC 1-1-40](#); [68 IAC 1-1-43](#); [68 IAC 1-1-59.1](#); [68 IAC 1-1-94](#); [68 IAC 1-1-95](#); [68 IAC 2-2-1](#); [68 IAC 2-3-9.3](#); [68 IAC 2-3-9.4](#); [68 IAC 2-5-5](#); [68 IAC 2-5-6](#); [68 IAC 2-6-1](#); [68 IAC 2-6-6](#); [68 IAC 2-6-8](#); [68 IAC 2-6-9](#); [68 IAC 2-6-25](#); [68 IAC 2-6-26](#); [68 IAC 2-6-27](#); [68 IAC 2-6-37](#); [68 IAC 2-6-43](#); [68 IAC 6-3-2](#); [68 IAC 10-1-1.1](#); [68 IAC 10-1-1.2](#); [68 IAC 10-1-6.1](#); [68 IAC 10-2-4](#); [68 IAC 10-4-4](#); [68 IAC 10-4-10](#); [68 IAC 10-6-5](#); [68 IAC 10-7-5](#); [68 IAC 10-8-5](#); [68 IAC 10-9-4](#); [68 IAC 11-2-2](#); [68 IAC 11-2-3](#); [68 IAC 11-2-4](#); [68 IAC 11-3-1](#); [68 IAC 11-3-2](#); [68 IAC 11-3-3](#); [68 IAC 11-3-6](#); [68 IAC 11-4-1](#); [68 IAC 11-4-2](#); [68 IAC 11-4-3](#); [68 IAC 11-4-4](#); [68 IAC 11-5-1](#); [68 IAC 11-5-2](#); [68 IAC 11-6-1](#); [68 IAC 11-7-1](#); [68 IAC 11-8-1](#); [68 IAC 11-8-2](#); [68 IAC 12-1-3](#); [68 IAC 12-1-5](#); [68 IAC 12-1-5.5](#); [68 IAC 12-1-8](#); [68 IAC 14-2-2](#); [68 IAC 14-5-1](#); [68 IAC 14-5-2](#); [68 IAC 14-5-3](#); [68 IAC 14-5-5](#); [68 IAC 14-5-6](#); [68 IAC 14-5.5-2](#); [68 IAC 14-10-2](#); [68 IAC 14-11-2](#); [68 IAC 14-12-2](#); [68 IAC 14-16-1](#); [68 IAC 14-16-2](#); [68 IAC 14-16-3](#); [68 IAC 15-1-4.1](#); [68 IAC 15-2-4](#); [68 IAC 15-4-2](#); [68 IAC 15-4-3](#); [68 IAC 15-5-4](#); [68 IAC 15-7-3](#); [68 IAC 15-8-4](#); [68 IAC 15-8-5](#); [68 IAC 15-9-1](#); [68 IAC 15-9-4](#); [68 IAC 15-10-2](#); [68 IAC 15-10-5](#); [68 IAC 15-10-6](#); [68 IAC 15-10-7](#); [68 IAC 15-12-2](#); [68 IAC 15-12-3](#); [68 IAC 15-12-4](#); [68 IAC 15-13-1](#); [68 IAC 16-1-9](#); [68 IAC 19-1-3](#)

SECTION 1. [68 IAC 1-1-8](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-8](#) "Bill changer" defined**

Authority: [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

Affected: [IC 4-33](#)

Sec. 8. "Bill changer" means an electromechanical device attached either on or into an electronic gaming device for the purpose of dispensing an amount of tokens or **issuing** credits equal to the amount of cash or cash equivalency inserted into the bill changer. The bill changer shall accept and analyze the legitimacy of United States currency. If a credit is issued, the player shall have the option of taking the entire amount of credit in tokens, or utilizing any portion of **use** the registered credits to activate the electronic gaming device as a wager.

(Indiana Gaming Commission; [68 IAC 1-1-8](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 470; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 2. [68 IAC 1-1-21](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-21](#) "Counterfeit chips" defined**

Authority: [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

Affected: [IC 4-33](#)

Sec. 21. "Counterfeit chips" or "tokens" means chip-like or token-like objects that have not been approved pursuant to [IC 4-33](#) or this title, including objects commonly referred to as slugs, but not including coins of the United States or any other nation.

(Indiana Gaming Commission; [68 IAC 1-1-21](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 3. [68 IAC 1-1-25](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-25](#) "Drop" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 25. "Drop" means ~~the total amount of tokens removed from the drop bucket of an electronic gaming device,~~ the currency removed from the bill changers and the total dollar amount of the currency, coins, chips, ~~tokens,~~ or credits removed from the live gaming devices. If a patron is utilizing an electronic card, the drop is the amount deducted from a patron's account as a result of electronic gaming device play.

(Indiana Gaming Commission; [68 IAC 1-1-25](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 4. [68 IAC 1-1-29](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-29](#) "Electronic gaming device" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 29. "Electronic gaming device" means any electromechanical device, electrical device, or machine which upon payment of consideration is available to play or operate, the operation of which, whether by reason of the skill of the operator or application of the element of chance, or both, may deliver or entitle the person playing or operating the machine to receive premiums, merchandise, ~~tokens,~~ redeemable game credits, or anything of value other than unredeemable free games whether the payoff is made automatically from the machines or in any other manner.

(Indiana Gaming Commission; [68 IAC 1-1-29](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 472; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 5. [68 IAC 1-1-30](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-30](#) "Electronic gaming device drop" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 30. "Electronic gaming device drop" means ~~the total value of tokens contained in the drop bucket and the~~ currency removed from bill changers. If a patron is utilizing an electronic card, the drop is the amount deducted from a patron's account as a result of electronic gaming device play.

(Indiana Gaming Commission; [68 IAC 1-1-30](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 473; filed Jul 18, 1996, 8:55 a.m.: 19 IR 3296; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 6. [68 IAC 1-1-40](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-40](#) "Game" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 40. "Game" means a banking, wagering, gambling, or percentage game or activity that is played for chips ~~tokens~~, or anything of value, including, without limitation, those played with:

- (1) cards;
- (2) chips;
- ~~(3) tokens;~~
- (4) **(3)** dice;
- ~~(5) (4) implements;~~ or
- ~~(6) (5) electronic, electrical, or electromechanical devices or machines.~~

*(Indiana Gaming Commission; [68 IAC 1-1-40](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 7. [68 IAC 1-1-43](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-43](#) "Gaming equipment or supplies" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 43. "Gaming equipment or supplies" means a machine, mechanism, device, or implement that affects the result of a game by determining win or loss, including, without limitation, any of the following:

- (1) Electronic gaming devices.
- (2) Software.
- (3) Cards.
- (4) Dice.
- (5) Any representative of value used with any game, including, without limitation, chips ~~tokens~~, or electronic debit cards and related hardware and software.

*(Indiana Gaming Commission; [68 IAC 1-1-43](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 474; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 8. [68 IAC 1-1-59.1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-59.1](#) "Main bank" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 59.1. "Main bank" or its equivalent means the department that is responsible for at least the following:

- (1) Cashing customer checks.
- (2) Establishing hold check privileges.
- (3) Redeeming chips. ~~tokens, or both.~~
- (4) Providing working funds to all operational departments.
- (5) Deposits of front money.
- (6) Maintaining custody of all inventory.
- (7) Processing markers.
- (8) Assuming responsibility for the following individuals and physical structures:
  - (A) Casino cashiers.
  - (B) Change attendants.

(C) Main bank vault or vaults.

(D) Any other structure that houses ~~tokens~~, chips or other representatives of value that the main bank is accountable for.

(Indiana Gaming Commission; [68 IAC 1-1-59.1](#); filed Apr 19, 1996, 3:00 p.m.: 19 IR 2247; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 9. [68 IAC 1-1-94](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 1-1-94](#) "Theoretical payout percentage" defined**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 94. "Theoretical payout percentage" means the sum of the number of cash equivalents ~~or credits or tokens~~ expected to be paid as a result of the jackpots divided by the number of different possible outcomes.

(Indiana Gaming Commission; [68 IAC 1-1-94](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 479; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 10. [68 IAC 2-2-1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-2-1](#) Supplier's license required**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33-6](#); [IC 4-33-6.5](#); [IC 4-35-5](#)

Sec. 1. (a) The following definitions apply throughout this rule:

- (1) "Applicant" means an applicant for a supplier's license.
- (2) "Casino license applicant" means a person who has submitted an application for one (1) of the following:
  - (A) A riverboat license under [IC 4-33-6](#).
  - (B) An operating agent contract under [IC 4-33-6.5](#).
  - (C) A gambling game license under [IC 4-35-5](#).

(b) An application for a supplier's license shall not be processed by the commission unless the applicant has an agreement with or a statement of intent from a casino licensee or a casino license applicant stating that the applicant will be supplying the casino with goods and services upon the applicant receiving a supplier's license. Nothing in this rule prevents a potential applicant from negotiating, prior to application for licensure, with a casino licensee or a casino license applicant to supply goods and services to the casino once the potential applicant has obtained a supplier's license.

(c) The following persons or business entities are required to hold a supplier's license:

- (1) The gaming operations manager if the manager is a business entity. If the gaming operations manager is an individual, the applicant shall hold a Level 1 occupational license. All employees of a gaming operations manager who have any duty, authority, or function relating directly or indirectly to a casino gambling operation will be required to hold an occupational license in accordance with [68 IAC 2-3-1](#).
- (2) All manufacturers of:
  - (A) electronic gaming devices;
  - (B) chips;
  - ~~(C) tokens;~~
  - ~~(D) (C) cards;~~
  - ~~(E) (D) dice;~~
  - ~~(F) (E) roulette wheels;~~
  - ~~(G) (F) keno balls;~~
  - ~~(H) (G) keno ball or number selection devices;~~
  - ~~(I) (H) shuffling devices; and~~

(I) any other equipment that the commission determines directly affects gaming; shall be licensed as a supplier. All suppliers under this subdivision shall be manufacturers of the devices listed in this subdivision.

(3) A supplier of gaming equipment maintenance or repair.

(4) A supplier of security services, security systems, and surveillance systems.

(5) A lessor of a riverboat or dock facilities, or both, unless the lessor of the riverboat or dock facilities, or both, is a county, municipality, or political subdivision.

(6) A supplier of goods or services where payment is calculated on a percentage of a casino gambling operation's revenues.

(7) Any other purveyor of goods or services to a casino gambling operation that the commission deems necessary to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

(d) The applicant's key persons, substantial owners, and any other persons deemed necessary to allow the commission to ensure the applicant meets the statutory criteria for licensure set forth in [IC 4-33](#), [IC 4-35](#), and this title must complete and submit a Personal Disclosure Form 1 application for occupational license under [68 IAC 2-3-1](#).

(e) A supplier licensee shall continue to maintain suitability for licensure. The supplier licensee is subject to action by the commission, including, but not limited to:

(1) suspension;

(2) revocation;

(3) restriction; and

(4) nonrenewal;

under [IC 4-33](#), [IC 4-35](#), and this title.

(f) A supplier licensee shall not distribute gaming supplies and equipment that do not conform to the standards for gaming supplies and equipment set forth in [IC 4-33](#), [IC 4-35](#), and this title.

(g) Casino licensees shall not purchase goods or services covered by this rule from a person who does not hold a supplier's license issued by the commission.

(h) A manufacturer of electronic gaming devices, chips, ~~tokens~~, cards, dice, roulette wheels, keno balls, keno ball or number selection devices, shuffling devices, or any other equipment that the commission determines directly affects gaming shall not be paid by a casino licensee based:

(1) on a percentage of the revenue received from the use of the gaming equipment; or

(2) upon the amount of play or use that the gaming equipment receives.

*(Indiana Gaming Commission; [68 IAC 2-2-1](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 488; errata filed Nov 1, 1995, 8:30 a.m.: 19 IR 353; filed Oct 22, 1997, 8:45 a.m.: 21 IR 922; errata filed Feb 6, 1998, 10:30 a.m.: 21 IR 2128; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1060; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); filed Dec 23, 2008, 1:32 p.m.: [20090121-IR-068080327FRA](#); filed Jul 21, 2010, 2:21 p.m.: [20100818-IR-068100052FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 11. [68 IAC 2-3-9.3](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 2-3-9.3](#) Prohibited activities**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 9.3. No occupational licensee may:

(1) loan money to a patron;

(2) purchase an item from a patron;

(3) pawn an item for a patron;

(4) cash a check for a patron; or

(5) assist the patron;

in any manner not authorized by this title, in obtaining chips, ~~tokens~~, cash, or cash equivalents with which the patron may place a wager.

(Indiana Gaming Commission; [68 IAC 2-3-9.3](#); filed Feb 18, 1998, 9:45 a.m.: 21 IR 2314; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 12. [68 IAC 2-3-9.4](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-3-9.4](#) Restrictions on gaming by persons associated with a casino licensee**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 9.4. (a) For purposes of subsection (b), a person has an ownership interest if the person holds an ownership interest of:

- (1) one percent (1%) or more of a casino licensee that is publicly traded as defined in [68 IAC 5-1-1\(b\)\(2\)](#); or
- (2) any percentage in a casino licensee that is not publicly traded.

(b) No:

- (1) key person of;
- (2) person holding an ownership interest in;
- (3) employee of; or
- (4) occupational licensee associated with;

a casino licensee may participate in a game conducted by the casino licensee that is the subject of the person's association; purchase or redeem chips ~~or tokens~~ for any other person at a casino that is the subject of the person's association; or give another individual chips, ~~tokens~~, cash, or cash equivalents to have the other individual place a wager on his or her behalf.

(Indiana Gaming Commission; [68 IAC 2-3-9.4](#); filed Dec 20, 2011, 1:53 p.m.: [20120118-IR-068110248FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 13. [68 IAC 2-5-5](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-5-5](#) Equipment**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 5. (a) Gaming equipment used for training purposes in an occupational training school shall conform to the requirements set forth in [IC 4-33](#) or [IC 4-35](#), and this title.

(b) An occupational training school shall keep an itemized list of its dealing shoes, gaming tables, cards, dice, roulette wheels, and other gaming equipment. The occupational training school or applicant shall submit its itemized list of equipment to the commission immediately upon receipt of any of the equipment. The itemized list shall be updated within ten (10) business days of a change in the inventory of gaming equipment. If any of the equipment is sold or no longer used, the occupational training school shall advise the executive director, in writing, that the equipment is no longer used and what happened to the equipment. The itemized list shall have additions and omissions made as they occur.

(c) Gaming equipment possessed by an occupational training school or an applicant may not be sold by the occupational training school or applicant except in accordance with applicable state and federal law.

(d) An occupational training school shall use chips ~~and tokens~~ that are distinctly dissimilar to chips ~~and tokens~~ used by casino licensees or proposed by casino license applicants. Representative samples of chips ~~and tokens~~ must be submitted to the commission for approval before an applicant or an occupational training school uses the chips. ~~or tokens~~.



(e) The occupational training school or applicant must have its name permanently imprinted or affixed to gaming equipment.

(Indiana Gaming Commission; [68 IAC 2-5-5](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 505; errata filed Nov 1, 1995, 8:30 a.m.: 19 IR 353; filed Dec 11, 1995, 4:30 p.m.: 19 IR 1025; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 14. [68 IAC 2-5-6](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-5-6](#) Security**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33-8-9](#); [IC 4-33-8-10](#)

Sec. 6. (a) Each occupational training school shall provide adequate security for the protection of its gaming equipment **and** chips. ~~and tokens.~~

(b) The gaming equipment **and** chips ~~and tokens~~ utilized by an occupational training school shall be used only for the purpose of training students.

(c) The occupational training school shall receive written approval from the executive director before the occupational training school sells or disposes of any gaming equipment **or** chips ~~or tokens~~ utilized by the occupational training school.

(d) The occupational training school shall report, in writing, to the executive director, any thefts, removal, or loss of any gaming equipment **and** chips ~~and tokens~~ utilized by the occupational training school within five (5) days of the theft, removal, or loss of the equipment.

(Indiana Gaming Commission; [68 IAC 2-5-6](#); filed Nov 10, 1994, 11:00 a.m.: 18 IR 505; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 15. [68 IAC 2-6-1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-1](#) General provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) This rule applies to casino licensees.

(b) Electronic gaming devices used in a casino must meet the specifications set forth in this rule.

(c) The following definitions apply throughout this rule:

(1) "Authorized independent gaming laboratory" means an independent gaming laboratory that:

(A) meets the qualifications established by the commission; and

(B) maintains a valid contract with the commission to conduct testing on behalf of the agency.

(2) "Certification testing" means an authorized independent gaming laboratory testing an item or technology:

(A) by arrangement with a manufacturer or distributor;

(B) pursuant to an authorized independent gaming laboratory's contract with the commission; and

(C) for purposes of issuing or denying certification as described under section 3 of this rule.

~~(3) "Inappropriate token in" means a token that has been accepted by an electronic gaming device after the electronic gaming device:~~

~~(A) has already accepted the maximum number of tokens; or~~

~~(B) is in a state that normally rejects additional tokens.~~

~~(4)~~ **(3)** "Leakage current" means an electrical current that flows when a conductive path is provided between exposed portions of an electronic gaming device and the environmental electrical ground when the electronic gaming device is isolated from the normal AC power ground.

~~(5)~~ **(4)** "Noncertification testing" means an independent gaming laboratory testing or otherwise analyzing an item or technology:

(A) by arrangement with a manufacturer or distributor; and

(B) for purposes other than issuing or denying certification as described under section 3 of this rule.

~~(6)~~ **(5)** "Par sheet" means a document provided by the electronic gaming device manufacturer that depicts the:

(A) possible outcomes from the play of an electronic gaming device;

(B) probability of occurrence of each; and

(C) contribution of a winning outcome to the payback percentage of the electronic gaming device.

~~(7)~~ **(6)** "RAM" or "random access memory" means the electronic component used for computer work storage and storage of volatile information in an electronic gaming device.

~~(8)~~ **(7)** "Randomness" means the unpredictability and absence of pattern in the outcome of an event or sequence of events.

~~(9)~~ **(8)** "Random number generator" means hardware, software, or combination of hardware and software devices for generating number values that exhibit characteristics of randomness.

~~(10)~~ **(9)** "ROM" or "read only memory" means the electronic component used for storage of nonvolatile information in an electronic gaming device, including programmable ROM and erasable programmable ROM.

~~(11)~~ **(10)** "Runs test" means a mathematical statistic that determines the existence of recurring patterns within a set of data.

~~(12)~~ **(11)** "Sensitive keys" means keys that:

(A) either management or the commission considers sensitive to the casino licensee's operation; and

(B) therefore require strict control over custody and issuance in accordance with [68 IAC 11-4](#).

~~(13)~~ **(12)** "Standard chi-squared analysis" means the sum of the squares of the difference between the expected result and the observed result.

~~(14)~~ **(13)** "Tilt condition" means a programmed error state for an electronic gaming device that occurs when the electronic gaming device detects an internal error, malfunction, or attempted cheating. The electronic gaming device ceases processing further input, output, or display information other than that indicating the tilt condition itself.

(d) Before an individual may enter an electronic gaming device for any reason, the individual must insert a card into the electronic gaming device that will record, at a minimum, the following information on the central computer system:

(1) The identity of the individual entering the electronic gaming device.

(2) The date and time that the electronic gaming device is:

(A) entered; and

(B) exited.

(3) The identity of the electronic gaming device that is entered.

(e) After an individual has entered an electronic gaming device for any reason, the individual must complete a log that is maintained inside the electronic gaming device. The log shall contain, at a minimum, the following information:

(1) The name and occupational license number of the individual entering the electronic gaming device.

(2) The date and time that the electronic gaming device is:

(A) entered; and

(B) exited.

(3) The identity of the electronic gaming device.

(4) The reason for the entry.

(f) A casino licensee may not offer a prize to a patron who achieves a certain winning combination on an electronic gaming device unless the value of the prize is computed into the payout percentage of the EPROM installed in the electronic gaming device.

*(Indiana Gaming Commission; [68 IAC 2-6-1](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1300; filed Aug 20, 1997, 7:11 a.m.: 21 IR 11; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 6, 2006, 2:52 p.m.:*

*[20070103-IR-068060191FRA](#); readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); filed Oct 27, 2009, 2:48 p.m.: [20091125-IR-068090144FRA](#); errata filed Dec 2, 2009, 1:35 p.m.:*

*[20091223-IR-068090144ACA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*



SECTION 16. [68 IAC 2-6-6](#) IS AMENDED TO READ AS FOLLOWS:

**68 IAC 2-6-6 Inventory requirements; conversion notification**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 6. (a) The casino licensee must maintain an inventory of electronic gaming devices and equipment. The inventory must include the following:

- (1) The serial number assigned to the electronic gaming device by the manufacturer.
- (2) The registration number issued by the commission.
- (3) The type of game for which the electronic gaming device is designed and used.
- ~~(4) The denomination of tokens accepted by the electronic gaming device, if it is a token-accepting device.~~
- ~~(5)~~ (4) The location of electronic gaming devices equipped with bill validators and any bill validators that stand alone.
- ~~(6)~~ (5) The manufacturer of the electronic gaming device.
- ~~(7)~~ (6) The location of the electronic gaming device.

(b) This inventory report must be submitted, on a form prescribed by the commission, to the executive director on the anniversary date of the issuance of the casino owner's license.

(c) If a casino licensee converts an electronic gaming device, the casino licensee must take the following steps:

(1) Request permission for the conversion from the commission and supply the commission with the following information:

(A) The:

- (i) serial number;
- (ii) commission registration number;
- (iii) machine number; and
- (iv) model number;

of the electronic gaming device that is being converted.

(B) The type of electronic gaming device that is being converted and the new type of machine if the type of machine is changed.

(C) The location of the electronic gaming device on the casino.

(D) If the electronic gaming device is:

- (i) a stand alone progressive; or
- (ii) linked to a progressive controller;

the old rate of progression and the new rate of progression must be submitted.

(E) The current and future denomination of the electronic gaming device if the denomination is to be converted.

(F) The current and future control program medium number that is installed or that is to be installed in the electronic gaming device. If a new control program medium is installed in an electronic gaming device, the control program medium must be approved for use in Indiana.

~~(G) Regular fill amount, for a token-accepting device.~~

~~(H) Initial fill amount, for a token-accepting device.~~

~~(I) Probe level measured from the top of the hopper, for a token-accepting device.~~

~~(J)~~ (G) Any other information deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

This information must be submitted to the commission at least fourteen (14) days before the casino licensee plans to make the conversion. The request for conversion shall have a space for the commission to sign indicating approval of the conversion request and a space for the signature of the enforcement agent to indicate the conversion was completed.

(2) The commission must approve the request for conversions before a conversion may be made by the casino licensee.

(3) An enforcement agent must do the following:

(A) Perform digital signature verification on the control program media to ensure that the control program media being installed match those on the request for conversion.

(B) Seal the control program medium with tape in accordance with section 19 of this rule.

(4) In the presence of an enforcement agent, a slot technician or the equivalent shall ensure that the payglass

installed on the electronic gaming device accurately reflects the payouts for the control program medium that has been installed in the electronic gaming device. The payglass test may be performed by either:

- (A) running the payout table test; or
  - (B) ensuring the payglass matches the approved diagram set forth in the payglass manual maintained by the commission.
- (5) The casino licensee shall do the following:
- (A) Ensure that a copy of the par sheet for each game theme is placed in the electronic gaming device in accordance with section 5 of this rule.
  - (B) Perform a coin test to ensure that the electronic gaming device is communicating with the central computer system. If the electronic gaming device is not communicating with the central computer system, the electronic gaming device must be disabled.
- (6) The casino licensee must do the following:
- (A) Update the master list of electronic gaming devices after the conversion is complete.
  - (B) Provide the chief counsel for the commission and the enforcement agent supervisor assigned to the casino with a copy of the updated master list within fourteen (14) days of the conversion.

*(Indiana Gaming Commission; [68 IAC 2-6-6](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1302; filed Aug 20, 1997, 7:11 a.m.: 21 IR 12; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1064; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 17. [68 IAC 2-6-8](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-8](#) Control program requirements**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 8. (a) Electronic gaming device control programs must test themselves for possible corruption caused by failure of the program storage media.

(b) The test methodology must detect ninety-nine and ninety-nine one hundredths percent (99.99%) of all possible failures.

(c) The control program must allow for the electronic gaming device to be continually tested during game play.

(d) The control program must reside in the electronic gaming device which is contained in a storage medium not alterable through any use of the circuitry or programming of the electronic gaming device itself.

(e) The control program must check for the following:

- (1) Corruption of RAM locations used for crucial electronic gaming device functions.
- (2) Information relating to the current play and final outcome of the four (4) prior games.
- (3) Random number generator outcome.
- (4) Error states.

(f) The control RAM areas must be checked for corruption following game initiation, but prior to display of the game outcome to the player.

(g) Detection of corruption is a game malfunction that must result in a tilt condition which identifies the error and causes the electronic gaming device to cease further function.

(h) The control program must have the capacity to display a complete play history for the current game and the previous four (4) games.

(i) The control program must display an indication of the following:

- (1) The game outcome or a representative equivalent.

- (2) Bets placed.
- (3) Credits ~~or tokens~~ paid.
- (4) Credits ~~or tokens~~ cashed out.
- (5) Any error conditions.
- (6) Any other information deemed necessary by the commission to ensure compliance with the Act and this title.

(j) The control program must provide the means for on-demand display of the electronic meters via a key switch on the exterior of the electronic gaming device.

*(Indiana Gaming Commission; [68 IAC 2-6-8](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1302; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 18. [68 IAC 2-6-9](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-9 Accounting meters](#)**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 9. (a) An electronic gaming device must be equipped with both electronic and electromechanical meters.

(b) The electronic gaming device's electromechanical meters must have at least six (6) digits.

(c) The electronic gaming device must tally totals to eight (8) digits and be capable of rolling over when the maximum value is reached.

(d) The electronic gaming device's control program must provide the means for on-demand display of the electronic meters via a key switch on the exterior of the machine.

(e) The ~~jackpots-paid meter is a~~ required electromechanical ~~meters are as follows:~~ **meter and:**

~~(1) the tokens-in meter must cumulatively count the number of tokens that are wagered by actual tokens inserted or credits bet;~~

~~(2) The tokens-out meter must cumulatively count the number of tokens that are paid by the hopper or credits that are bet.~~

~~(3) (2) the tokens-dropped meter must maintain a cumulative count of the number of tokens that have been diverted into a drop bucket and credit value of all bills inserted into the bill validator for play;~~

~~(4) (3) the jackpots-paid meter must reflect the cumulative amounts paid by an attendant for progressive and nonprogressive jackpots.~~

(f) Electronic meters must have an accuracy rate of ninety-nine and ninety-nine one hundredths percent (99.99%) or better.

(g) Electromechanical meters must meet a reasonable level of accuracy, given the available technology, as approved by the executive director after consultation with an outside independent gaming test laboratory.

(h) The required electronic meters are as follows:

~~(1) The tokens-in meter must cumulatively count the number of tokens that are wagered by actual tokens inserted or credits bet. or both.~~

~~(2) The tokens-out meter must cumulatively count the number of tokens that are paid by the hopper or credits that are bet, or both.~~

~~(3) (2) The tokens-dropped meter must cumulatively count the number of tokens that have been diverted into a drop bucket and the credit value of all bills inserted into the bill validator for play.~~

~~(4) (3) The jackpots-paid meter must reflect the cumulative amounts paid by an attendant for progressive jackpots and nonprogressive jackpots.~~

- ~~(5)~~ **(4)** The games-played meter must display the cumulative number of games played.
- ~~(6)~~ **(5)** A cabinet door meter must display the number of times the front cabinet door was opened.
- ~~(7)~~ **(6)** The drop door meter must display the number of times the drop door or the bill validator door was opened.

(i) If the electronic gaming device is equipped with a bill validator, the device must be equipped with a bill validator meter that records the following:

- (1) The total number of bills that were accepted.
- (2) A breakdown of the number of each denomination of bill accepted.
- (3) The total dollar amount of bills accepted.

(j) Electronic gaming devices must be designed so that replacement of parts or modules required for normal maintenance does not require replacement of the electromechanical meters.

(k) Electronic gaming devices must have meters which continuously display the following information relating to the current play or monetary transaction:

- (1) The number of ~~tokens or~~ credits wagered in the current game.
- (2) The number of ~~tokens or~~ credits won in the current game, if applicable.
- ~~(3) The number of tokens paid by the hopper for a credit cash out or a direct pay from a winning outcome.~~
- ~~(4)~~ **(3)** The number of credits available for wagering, if applicable.

(l) Electronically stored meter information required by this section must be preserved after a power loss to the electronic gaming device and must be maintained for a period of at least one hundred eighty (180) days.

*(Indiana Gaming Commission; [68 IAC 2-6-9](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1303; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 19. [68 IAC 2-6-25](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-25](#) Error conditions; automatic clearing**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 25. (a) Electronic gaming devices must be capable of detecting and displaying the following conditions:

- (1) Power reset.
- (2) Door open.
- ~~(3) Inappropriate token in if the token is not automatically returned to the player.~~

(b) The conditions listed in subsection (a) must be automatically cleared by the electronic gaming device upon initiation of a new play sequence.

*(Indiana Gaming Commission; [68 IAC 2-6-25](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1307; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 20. [68 IAC 2-6-26](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-26](#) Error conditions; clearing by attendant**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 26. (a) Electronic gaming devices must be capable of detecting and displaying the following error conditions which an attendant may clear:

- (1) Token in jam.
- (2) Token out jam.
- (3) Hopper empty or timed out.
- (4) (1) RAM error.
- (5) Hopper runaway or extra token paid out.
- (6) (2) Program error.
- (7) Reverse token in.
- (8) (3) Reel spin error of any type, including a mis-index condition for rotating reels. The specific reel number must be identified in the error indicator.
- (9) (4) Low RAM battery, for batteries external to the RAM itself, or low power source.

(b) A description of electronic gaming device error codes and their meanings must be affixed inside the electronic gaming device.

*(Indiana Gaming Commission; [68 IAC 2-6-26](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1307; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 21. [68 IAC 2-6-37](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-37](#) Operation of progressive controller-normal mode**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 37. (a) During the normal operating mode of the progressive controller, the controller must do the following:

- (1) Continuously monitor each electronic gaming device attached to the controller to detect ~~inserted tokens or~~ credits wagered.
- (2) Multiply the ~~accepted tokens~~ **credits wagered** by the programmed rate of progression and denomination in order to determine the correct amounts to apply to the progressive jackpot.

(b) The progressive display must be constantly updated as play on the link is continued. It will be acceptable to have a slight delay in the update as long as when a jackpot is triggered the jackpot amount is shown immediately.

(c) At least one (1) progressive display to which a group of progressive electronic gaming devices is linked must continuously display the amount of the progressive jackpot that a patron may win.

*(Indiana Gaming Commission; [68 IAC 2-6-37](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1309; errata filed Aug 9, 1996, 10:00 a.m.: 20 IR 21; filed Mar 21, 1997, 10:00 a.m.: 20 IR 2091; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 22. [68 IAC 2-6-43](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 2-6-43](#) Electronic gaming device tournaments**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 43. (a) Electronic gaming device tournaments may be conducted by the casino licensee.

(b) Tournament play must be on machines that have been tested and approved in accordance with the rules and for which the tournament feature has been enabled.

(c) Electronic gaming devices used in a single tournament shall use the same electronics and machine settings.

(d) Electronic gaming devices enabled for tournament play shall not accept ~~tokens or~~ TITOs or pay out ~~tokens or~~ TITOs. The electronic gaming devices shall use credit points only.

(e) Tournament credits shall have no cash value.

(f) Tournament play may not be credited to electromechanical meters of the machine.

*(Indiana Gaming Commission; [68 IAC 2-6-43](#); filed Jan 17, 1996, 11:00 a.m.: 19 IR 1310; readopted filed Oct 15, 2001, 4:34 p.m.: 25 IR 898; readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 23. [68 IAC 6-3-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 6-3-2](#) Request for voluntary exclusion**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 2. (a) Except as provided in section 1(c) of this rule, a voluntarily excluded person agrees to refrain from entering the gaming area of all casinos.

(b) Any person requesting voluntary exclusion may make a request for voluntary exclusion by following the procedures set forth in this section. The request for voluntary exclusion may be made only by the person requesting voluntary exclusion and not by any other person. A person requesting voluntary exclusion must not be under the influence of alcoholic beverages, controlled substances, or prescription drugs at the time he or she makes a request for voluntary exclusion.

(c) Any person requesting voluntary exclusion must submit a completed request for voluntary exclusion as outlined in subsection (d). The person requesting voluntary exclusion must appear in person at a commission office or another location designated by the executive director to complete the request for voluntary exclusion. Commission offices are located on the property of each casino in addition to an office located in Indianapolis.

(d) A request for voluntary exclusion must be on a form prescribed by the commission.

(e) The personal information of a voluntarily excluded person is confidential. A voluntarily excluded person must agree that in order to enforce the VEP, casinos must have access to the individual's personal information. A voluntarily excluded person shall authorize the commission staff to provide any identifying information contained in the person's request for exclusion to the casinos to be able to enforce the exclusion.

(f) A voluntarily excluded person shall have the following ongoing obligations:

- (1) Refrain from entering the gaming area of casinos until the commission has approved a request for removal.
- (2) Each time the personal information of a voluntarily excluded person changes, he or she must provide the commission with the updated information.
- (3) Notify the commission if direct mailing items from a casino are received addressed to a voluntarily excluded person at his or her residence.

(g) A voluntarily excluded person who enters the gaming area of a casino agrees to forfeit any jackpot or thing of value won as a result of a wager made at a casino. The forfeited jackpots or items will be withheld by the casino licensee and remitted to the commission. The commission shall collect the items and funds. Voluntarily excluded persons may appeal a forfeiture under this rule by following the procedures outlined in [68 IAC 7](#).

(h) Voluntarily excluded persons agree to forfeit all points or complimentaries earned on or before the request for voluntary exclusion. Points or complimentaries refer to credits earned by a person under the terms of a casino licensee's marketing program as approved by the commission and shall include, but not be limited to:



- (1) food coupons;
- (2) coupons or vouchers for chips; ~~or tokens~~;
- (3) hotel complimentaries; or
- (4) other similar noncash benefit owing to the individual.

However, if at the time an individual makes a request for voluntary exclusion he or she is owed a cash amount from a casino licensee, the individual shall have the right to receive that amount from the casino licensee after enrollment in the VEP. To the extent that complimentaries or points described above may be redeemed for cash under the casino licensee's marketing program, the individual shall be entitled to receive that amount.

(i) Nothing in this rule shall prohibit a casino licensee from alerting local law enforcement authorities of a voluntarily excluded person's presence in a casino to effect an arrest for trespassing.

*(Indiana Gaming Commission; [68 IAC 6-3-2](#); filed Mar 22, 2004, 3:30 p.m.: 27 IR 2440; errata filed Jul 9, 2004, 2:21 p.m.: 27 IR 3580; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); readopted filed Sep 14, 2007, 1:40 p.m.: [20071003-IR-068070354RFA](#); filed Apr 3, 2012, 4:10 p.m.: [20120502-IR-068110780FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 24. [68 IAC 10-1-1.1](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 10-1-1.1](#) Rate of progression**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#)

**Affected:** [IC 4-33-8](#)

Sec. 1.1. (a) This section applies to a riverboat licensee that offers a live gambling game with a progressive feature.

(b) As used in this rule, "rate of progression" means the amount by which the progressive jackpot will increase incrementally for each ~~token inserted~~ **credit wagered** by a player to participate in the progressive feature of the live gaming device.

(c) The rate of progression that must be offered on a gambling game with a progressive feature must be at least sixty percent (60%) and not more than one hundred percent (100%).

(d) Once a gambling game is offered with an established rate of progression, the rate of progression shall not be changed until after a patron wins the jackpot.

(e) The riverboat licensee shall submit, at a minimum, the following information to chief counsel for the commission:

- (1) The types of gambling games that will offer a progressive feature.
- (2) The location of the gambling games that will offer a progressive feature.
- (3) The rate of progression for each gambling game.
- (4) The reset amount for each gambling game.

The information required by this subsection must be submitted when a new progressive live gaming device is introduced into the casino or the riverboat licensee changes the rate of progression on an existing progressive live gaming device.

*(Indiana Gaming Commission; [68 IAC 10-1-1.1](#); filed Jun 1, 1998, 2:27 p.m.: 21 IR 3708; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 25. [68 IAC 10-1-1.2](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 10-1-1.2](#) Holding gaming positions; responsibility for patron assets**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1.2. (a) A casino licensee may hold a patron's seat at a live gaming device or an electronic gaming device only in accordance with this section.

(b) A casino licensee or an occupational licensee, or both, shall not hold a seat at a live gaming device or hold an electronic gaming device for a patron for a period of time that exceeds twenty (20) minutes.

(c) A casino licensee must mark the seat of a live gaming device or an electronic gaming device that is being held for a patron with a sign that indicates the seat is being held for a patron and the length of time for which the seat is being held.

(d) If a casino licensee will hold seats for a patron, the casino licensee must post a sign in a conspicuous area on each floor of the casino indicating the casino licensee's policy of holding seats.

(e) An employee of a casino licensee shall not accept responsibility for protecting a patron's assets in the form of any of the following:

- (1) Cash.
- (2) Cash equivalents.
- (3) Chips.
- ~~(4) Tokens.~~
- ~~(5) (4) Credits on an electronic gaming device.~~
- ~~(6) (5) TITOs.~~

*(Indiana Gaming Commission; [68 IAC 10-1-1.2](#); filed Jul 10, 2000, 4:48 p.m.: 23 IR 3069; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 26. [68 IAC 10-1-6.1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 10-1-6.1](#) Conduct of live gaming device tournaments**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 6.1. (a) Live gaming device tournaments may be conducted by riverboat licensees.

(b) At least thirty (30) business days before a riverboat licensee plans to offer a live gaming device tournament, the riverboat licensee must submit the rules of tournament play to the commission for approval. No live gaming device tournament may be offered until approved by the commission. The rules of tournament play shall include, at a minimum, the following information:

- (1) The amount of the entry fee for participating in the tournament.
- (2) The game that will be played.
- (3) The qualification or selection criteria that will be used to limit the eligibility of players in a tournament. Any criteria or qualification utilized must be reasonably related to gaming activity.
- (4) Any rules of play that differ from the rules submitted by the riverboat licensee in accordance with section 3 of this rule.
- (5) The amount of chips ~~tokens~~, or credits, or both, that a player will begin with.
- (6) The manner in which players will receive seat and table assignments and how reassignments are to be handled.
- (7) How players are eliminated from the tournament and how the winner or winners are determined.
- (8) The manner in which ties will be handled.
- (9) The number of prizes to be awarded.
- (10) The actual cost of the prizes to be awarded.
- (11) Whether the patron will have an option of taking the prize or requesting a cash alternative. If such an alternative is offered, the amount of cash the patron may receive.
- (12) An exact description of each prize to be awarded.
- (13) If the entire pot of entry fees is awarded as prizes, the percentage of the pot that each place will receive.
- (14) Whether or not the riverboat licensee will guarantee the dollar value of the prizes if insufficient entry fees

are collected.

(c) The executive director or the executive director's designee shall approve or disapprove the rules within thirty (30) business days of the receipt of the rules.

(d) The riverboat licensee may deduct only the amount of prizes awarded at cost basis to the extent allowed by subsection (e). The riverboat licensee must document the amount of money expended on prizes awarded in a tournament.

(e) The riverboat licensee may take a deduction for the prizes awarded in accordance with [68 IAC 15-5-3](#) in an amount equal to or less than the total amount of the entry fees collected.

(f) Once rules of tournament play have been approved by the commission for a specified table game, the riverboat licensee may offer a tournament utilizing identical approved rules at any time upon a ten (10) day notification to the commission and a request for approval of the proposed tournament.

(g) Amendments to approved rules of tournament play must be submitted to the commission at least thirty (30) business days prior to the utilization of the amendments. The executive director or the executive director's designee shall approve or disapprove amendments to rules of tournament play within thirty (30) days of receipt of the amendments. No amendments to rules of tournament play shall be utilized by the riverboat licensee until approved by the commission.

*(Indiana Gaming Commission; [68 IAC 10-1-6.1](#); filed Aug 20, 1997, 7:11 a.m.: 21 IR 15; errata, 21 IR 399; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 27. [68 IAC 10-2-4](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 10-2-4](#) Wagers; wagering rules; outcomes**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 4. (a) Except as provided in subsection (c), before the first card is dealt for a round of play, a player may make a wager in an amount not less than the minimum nor more than the maximum amount set for the table by the riverboat licensee. All wagers must be made by placing gaming chips ~~or tokens~~ on the appropriate areas of the blackjack layout. The player wins an amount as determined in accordance with section 5 of this rule if any of the following events occur:

- (1) The sum of the player's cards is twenty-one (21) or less, and the sum of the dealer's cards is more than twenty-one (21).
- (2) The sum of the player's cards exceeds that of the dealer without exceeding twenty-one (21).
- (3) The player has a blackjack, and the dealer does not.
- (4) Other cards or combinations of cards based on promotions offered by the riverboat licensee if the executive director has approved the promotion.

(b) A wager is void and returned to the player when the sum of the player's cards is the same as the dealer or where both the dealer and the player have a blackjack. A player's wager is lost if the dealer has a blackjack and the sum of the player's cards is twenty-one (21), but is not a blackjack.

(c) Except when splitting pairs, doubling down, surrendering, making an insurance wager, or making an even money wager, no wager may be made, increased, or withdrawn after the first card of the round has been dealt.

(d) Except for splitting pairs, doubling down, surrendering, making an insurance wager, or making an even money wager, no player may handle, remove, or alter any wagers that have been made once the first card of the hand has been dealt by the dealer until the hand has been completed.

(e) After a wager on the insurance line, an even money wager, a surrender, a wager to double down, or a wager to split pairs has been confirmed by the dealer, no player may handle, remove, or alter any wager until the hand is completed.

(f) No dealer or other riverboat licensee employee may permit a player to violate this section.

(Indiana Gaming Commission; [68 IAC 10-2-4](#); filed Apr 19, 1996, 3:00 p.m.: 19 IR 2258; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 28. [68 IAC 10-4-4](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 10-4-4](#) Proper and invalid rolls of dice**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 4. (a) The shooter shall throw the two (2) selected dice to the far end of the table for the purpose of bouncing the dice off the backboard of the craps table. The shooter must make a good faith attempt to bounce the dice off the backboard of the craps table.

(b) A roll of the dice shall be deemed invalid if one (1) of the following occurs:

- (1) One (1) or both of the dice go off of the craps table.
- (2) If more than two (2) dice are thrown.

(c) The stickperson may declare the following rolls invalid:

- (1) If one (1) of the die comes to rest on top of the other die.
- (2) If a patron other than the shooter throws the dice.
- (3) If the dice do not leave the shooter's hand simultaneously.
- (4) If one (1) or both dice come to rest in the dice bowl.
- (5) If one (1) or both dice come to rest on the rail of the craps table.
- (6) If the shooter has not placed a pass bet or don't pass bet.
- (7) If the shooter throws the dice in the wrong direction on the craps table.
- (8) If the shooter slides the dice across the table so that one (1) or both of the dice do not roll or tumble.
- (9) If one (1) or both dice do not fall flat on the craps table, but rest on the chips ~~or tokens~~ stacked on the craps table.
- (10) If the shooter does not make a good faith attempt to bounce the dice off the backboard and the dice are not thrown at least one-half (1/2) the length of the craps table.
- (11) If the dice come to rest in a manner that it cannot be determined which face of the die is uppermost.

The stickperson's declaration of an invalid roll may be overturned in accordance with section 5 of this rule.

(Indiana Gaming Commission; [68 IAC 10-4-4](#); filed Oct 30, 1997, 12:40 p.m.: 21 IR 924; errata filed Feb 6, 1998, 10:30 a.m.: 21 IR 2128; filed Dec 29, 1998, 10:43 a.m.: 22 IR 1423; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 29. [68 IAC 10-4-10](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 10-4-10](#) Placement and acceptance of wagers**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 10. (a) Wagers shall be placed before the dice are thrown.

(b) If a patron presents cash to place a wager, the cash must be immediately converted into chips ~~or tokens~~ by the dealer or the stickperson before the dice are thrown. If the cash is not converted into chips ~~or tokens~~ before

the dice are thrown, the wager shall not be considered as having been made.

(c) Except as provided in subsection (d), a wager made on any bet may be removed or reduced by the patron at any time prior to the roll that determines the outcome of the bet.

(d) The patron may not reduce or remove a pass or a come bet placed by the patron after a come-out point or come point is established with respect to the bet.

(e) The patron may increase the amount of the wager the patron has placed on the pass line or the come line after the comeout point or come point is established with respect to the bet.

(f) The patron may remove or reduce a wager the patron placed on a don't come bet or a don't pass bet at any time, but the patron may not increase or replace the don't come bet or don't pass bet once it has been decreased or removed.

(g) The patron may not alter or remove any wager after the dice have left the shooter's hands.

(h) The patron is responsible for ensuring that his or her bets are placed on the appropriate area of the craps layout that designates the bet that the patron wants the wager placed on.

*(Indiana Gaming Commission; [68 IAC 10-4-10](#); filed Oct 30, 1997, 12:40 p.m.: 21 IR 929; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 30. [68 IAC 10-6-5](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 10-6-5](#) Progressive feature**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 5. (a) Riverboat licensees may add a progressive feature to Caribbean Stud Poker tables that are located within one (1) riverboat.

(b) The riverboat licensee must maintain a record of the amount shown on a progressive jackpot meter.

(c) Supporting documents must be maintained to explain any reduction in the payoff amount from a previous entry.

(d) The records and documents must be retained in Indiana for a period of five (5) years unless otherwise provided by the executive director in writing.

(e) The Caribbean Stud Poker tables utilizing the progressive feature must be linked to a progressive meter or meters showing the current payoff to all players who are playing a Caribbean Stud Poker game that may potentially win the progressive amount.

(f) During the normal operating mode of the progressive controller, the controller must do the following:

(1) Continuously monitor each Caribbean Stud Poker table attached to the controller to detect any ~~tokens or~~ credits wagered.

(2) Multiply the ~~accepted tokens~~ **credits wagered** by the programmed rate of progression and denomination in order to determine the correct amounts to apply to the progressive jackpot.

(g) The progressive display must be constantly updated as play on the link is continued. It will be acceptable to have a slight delay in the update as long as when a jackpot is triggered the jackpot amount is shown immediately.

(h) At least one (1) progressive display to which a group of Caribbean Stud Poker tables is linked must continuously display the amount of the progressive jackpot that a patron may win.

(i) When more than one (1) Caribbean Stud Poker table is linked to a progressive controller, the progressive controller shall automatically reset to the reset amount and continue normal play. The reset amount must be displayed on the progressive display. During this time, it is sufficient for the progressive display to alternately display the jackpot amount that was won and the reset amount.

(j) If the progressive feature is utilized, it shall proceed in accordance with the following:

- (1) United States patent number 4,861,041.
- (2) United States patent number 5,078,405.
- (3) United States patent number 5,112,060.
- (4) United States patent number 5,364,104.
- (5) United States patent number 5,377,994.

*(Indiana Gaming Commission; [68 IAC 10-6-5](#); filed Apr 17, 1997, 10:00 a.m.: 20 IR 2283; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 31. [68 IAC 10-7-5](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 10-7-5](#) Bonus feature**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 5. (a) Riverboat licensees may add a bonus feature to Let It Ride tables.

(b) Let It Ride tables with the bonus feature must be connected to a table controller located on the table in close proximity to the dealer. The table controller is connected to the central computer system and must register the placement of the one dollar (\$1) bonus bet that may be placed by a player.

(c) A player may place a bonus bet by depositing a one dollar (\$1) ~~token~~ **chip** in the appropriate depository. A sensor light must illuminate that indicates that the player has placed a bonus bet. After the dealer has announced, "No more bets", the dealer shall press the lock out switch that bars the placement of additional bonus bets.

(d) The bonus hand will not be paid unless the player obtains a hand containing at least two (2) pairs.

(e) Winning bonus hands shall be paid the following amounts:

- (1) A royal flush bonus hand shall receive ten thousand dollars (\$10,000).
- (2) A straight flush bonus hand shall receive two thousand dollars (\$2,000).
- (3) Four (4) of a kind shall receive one hundred dollars (\$100).
- (4) A full house shall receive seventy-five dollars (\$75).
- (5) A flush shall receive fifty dollars (\$50).
- (6) A straight shall receive twenty-five dollars (\$25).
- (7) Three (3) of a kind shall receive eight dollars (\$8).
- (8) Two (2) pairs shall receive four dollars (\$4).

*(Indiana Gaming Commission; [68 IAC 10-7-5](#); filed Jun 1, 1998, 3:07 p.m.: 21 IR 3709; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 32. [68 IAC 10-8-5](#) IS AMENDED TO READ AS FOLLOWS:



**68 IAC 10-8-5 Progressive feature**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 5. (a) Riverboat licensees may add a progressive feature to the Caribbean Draw Poker tables that are located within one (1) riverboat.

(b) The riverboat licensee must maintain a record of the amount shown on a progressive jackpot meter.

(c) Supporting documents must be maintained to explain any reduction in the payoff amount from a previous entry.

(d) The records and documents must be retained in Indiana for a period of five (5) years unless otherwise provided by the executive director in writing after the executive director has determined that the requested retention period will ensure compliance with the Act, this title, and the integrity of the game.

(e) The Caribbean Draw Poker tables utilizing the progressive feature must be linked to a progressive meter or meters showing the current payoff to all players who are playing the Caribbean Draw Poker game that may potentially win the progressive amount.

(f) During the normal operating mode of the progressive controller, the controller must do the following:

(1) Continuously monitor each Caribbean Draw Poker table attached to the controller to detect any ~~tokens or~~ credits wagered.

(2) Multiply the ~~accepted tokens~~ **credits wagered** by the programmed rate of progression and denomination in order to determine the correct amounts to apply to the progressive jackpot.

(g) The progressive display must be constantly updated as play on the link is continued. It will be acceptable to have a slight delay in the update so long as when a jackpot is triggered the jackpot amount is shown immediately.

(h) At least one (1) progressive display to which a group of Caribbean Draw Poker tables is linked must continuously display the amount of the progressive jackpot that a patron may win.

(i) When more than one (1) Caribbean Draw Poker table is linked to a progressive controller, the progressive controller shall automatically reset to the reset amount and continue normal play when a jackpot is hit. The reset amount must be displayed on the progressive display. During this time, it is sufficient for the progressive display to alternately display the jackpot amount that was won and the reset amount.

(j) If the progressive feature is utilized, it shall proceed in accordance with United States patent number 5,725,216.

*(Indiana Gaming Commission; [68 IAC 10-8-5](#); filed Dec 29, 1998, 10:41 a.m.: 22 IR 1422; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 33. [68 IAC 10-9-4](#) IS AMENDED TO READ AS FOLLOWS:

**68 IAC 10-9-4 Wagers; wagering rules; outcomes**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 4. (a) Before the first card is dealt in a round of play, a player may make a wager in an amount not less than the minimum nor more than the maximum amount set for the table by the riverboat licensee. All wagers must be made by placing gaming chips ~~or tokens~~ on the appropriate areas of the pai gow poker layout. The player wins an amount as determined in accordance with section 6 of this rule if the sum of both of the player's hands are

higher in rank than both of the dealer's hands.

(b) The following outcomes are possible in the game of pai gow poker:

(1) The player wins an amount determined in accordance with section 6 of this rule if both of the player's hands are higher in rank than both of the dealer's hands.

(2) If all cards of one (1) hand are identical in value to all cards of another hand, the hand shall be considered a copy hand. The player loses a copy hand.

(3) The wager is void and returned to the player when the player wins one (1) hand and the dealer wins the other hand.

(4) A player's wager is lost if both of the dealer's hands are higher than those of the player.

(c) Except for the surrender option, no player may handle, remove, or alter any wagers that have been made after the first card of the hand has been dealt by the dealer until the hand has been completed.

(d) No dealer or other occupational licensee may permit a player to violate this rule.

(e) A riverboat licensee may permit a player to place a wager in more than one (1) box or may limit multiple play during hours when there are insufficient seats in an establishment to accommodate patron demand.

*(Indiana Gaming Commission; [68 IAC 10-9-4](#); filed Oct 18, 1999, 1:27 p.m.: 23 IR 540; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 34. [68 IAC 11-3-1](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 11-3-1](#) General provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) The following definitions apply throughout this rule:

(1) "Bill validator report" means a report completed by the soft count team that documents the value of the currency collected from the bill validator drop boxes. The report shall:

(A) be completed on a form prescribed or approved by the commission; and

(B) include the currency count by denomination and the total amount of currency removed from the bill validator drop boxes.

(2) "Bill validator verification report" means a report generated after the completion of the soft count that documents the amount and denomination of the currency that was deposited into a bill validator of an electronic gaming device. The report shall be completed on a form prescribed or approved by the commission and shall include, at a minimum, the following information:

(A) The electronic gaming device from which the bill validator drop box was removed.

(B) The total dollar value of the currency contained in the bill validator drop box.

(C) The number and denomination of each bill contained in the bill validator drop box.

(3) "Currency collection team" means a team of the casino licensee's employees that consists of at least three (3) occupational licensees, at least one (1) of whom is a security officer. The duties of the currency collection team shall include the following:

(A) For table games, the currency collection team shall collect and replace drop boxes at least one (1) time per day.

(B) For electronic gaming devices, the currency collection team shall collect and replace drop boxes in accordance with the casino licensee's approved internal controls.

(4) "Drop box" means the live gaming device drop boxes or bill validator drop boxes.

(5) "Drop box storage cart" means the cart, equipped with a secured compartment, used to transport drop boxes during the currency collection process.

(6) "Drop box verification report" means a report generated before the commencement of the soft count that documents the activity that took place at each live gaming device for the gaming day. The report shall be completed on a form prescribed or approved by the commission and shall include, at a minimum, the following information:

(A) The opening dollar amount of each live gaming device inventory.

- (B) The identifying number and dollar amount of each live gaming device fill slip.
  - (C) The total dollar amount of table fill slips.
  - (D) The identifying number and dollar amount of each live gaming device credit slip.
  - (E) The total dollar amount of live gaming device credit slips.
  - (F) The closing dollar amount of each live gaming device inventory.
  - (G) The identifying number and dollar amount of each counter check.
  - (H) The total dollar amount of counter checks.
  - (I) The identifying number and dollar amount of each front money withdrawal.
  - (J) The total dollar amount of front money withdrawals.
- (7) "Master gaming report" means a report completed by the soft count team that documents the value of the currency collected from the drop boxes of the live gaming devices. The report shall be completed on a form prescribed or approved by the commission and shall include, at a minimum, the following information:
- (A) The total amount of the opening live gaming device inventories.
  - (B) The total amount of the table fill slips.
  - (C) The total amount of the table credit slips.
  - (D) The total amount of closing table game inventories.
  - (E) The total amount of counter checks.
  - (F) The total amount of front money withdrawals.
  - (G) The total amount of currency ~~tokens~~, and chips removed from live gaming device drop boxes.
  - (H) The total win or loss.
- (8) "Recorder" means the member of the soft count team responsible for ensuring that the paperwork reconciles. The recorder shall not be responsible for completing the table count slips.
- (9) "Soft count team" means a team of the casino licensee's employees that consists of at least:
- (A) one (1) employee of the soft count department; and
  - (B) one (1) soft count:
    - (i) supervisor;
    - (ii) manager;
    - (iii) lead; or
    - (iv) equivalent.

The soft count team shall be responsible for counting and bundling the currency collected from the live gaming devices and bill validators. An employee from the accounting department may assist the soft count team if the soft count team has a discrepancy in its counts.

(b) Members of the currency collection team and soft count team shall wear clothing that is not conducive to the concealment of currency. Members of the currency collection team and soft count team shall not wear hats.

(c) The currency collection team and the soft count team shall be rotated on a routine basis to ensure the integrity of the currency collection process and the soft count. Members of the currency collection team can be members of the soft count team.

(d) On the last day of the month, the casino licensee shall drop each bill validator and complete a reconciliation of that month's soft drop.

*(Indiana Gaming Commission; [68 IAC 11-3-1](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3322; filed Jan 30, 1998, 11:00 a.m.: 21 IR 2060; filed May 29, 1998, 5:10 p.m.: 21 IR 3697; filed Jun 19, 2000, 10:34 a.m.: 23 IR 2699; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Sep 30, 2004, 11:05 a.m.: 28 IR 528; readopted filed Sep 21, 2010, 3:55 p.m.: [20101020-IR-068100360RFA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 35. [68 IAC 11-3-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-3-2](#) Submission of internal control procedure**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 2. (a) The casino licensee shall submit to the enforcement agent a list of employees authorized to participate in the currency collection process and the soft count. These employees must hold an occupational

license, Level 2 or higher. Amendments to the list of employees authorized to participate in the currency collection process and the soft count must be submitted to the enforcement agent after any amendments. The casino licensee must submit an employee's name to an enforcement agent before the employee participates in currency collection or the soft count.

(b) In accordance with [68 IAC 11-1](#), the casino licensee must submit to the executive director internal control procedures covering currency collection and soft count.

(c) The internal control procedures for the currency collection and soft count process must include the following:

(1) The times that currency collection will occur.

(2) The manner in which the:

(A) currency collection process will proceed, including the location from which the currency collection process will commence;

(B) live gaming device drop box will be identifiable as having come from the live gaming device from which it was removed; and

(C) bill validator drop box will be identifiable as having come from the electronic gaming device from which it was removed.

(3) Whether counts will be performed manually or by means of a currency counter. If a currency counter is utilized, the:

(A) manufacturer;

(B) type;

(C) model number; and

(D) serial number;

must be listed. Currency counters shall be approved under [68 IAC 2-7](#).

(4) The name of the department that will maintain and control the keys that are necessary to complete the currency collection and soft count process.

(5) The titles of the occupational licensees that are authorized to transfer currency **and** coins ~~and tokens~~ from the soft count room to the main bank.

(6) Where currency and coins will be stored before being deposited into an external bank.

(7) The security measures that the casino licensee will take regarding storage of currency and coins.

(8) Alternative procedures that the casino licensee will utilize in the case of a malfunction or an emergency.

(9) A description of the security measures that the casino licensee will take when a drop box storage cart holding live gaming device drop boxes or bill validator drop boxes containing:

(A) currency;

(B) chips;

(C) tokens; or

(D) records;

must be stored outside of the soft count room.

(10) Adjustments that the recorder may make to the Drop Box Verification Report.

(11) The titles of the individuals who will perform the duties of the internal auditor.

(12) The measures the casino licensee will take to ensure compliance with this article.

(13) Any other information the commission deems necessary to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

*(Indiana Gaming Commission; [68 IAC 11-3-2](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3322; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Aug 16, 2010, 3:37 p.m.: [20100915-IR-068100064FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 36. [68 IAC 11-3-3](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-3-3](#) Soft count room characteristics; security**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 3. (a) The soft count room shall be:

(1) located in a nonpublic area of the casino; and

(2) designated for counting and recording the contents of the live gaming device drop boxes and bill validator

drop boxes.

(b) The soft count room shall have the following items, components, or characteristics:

(1) There shall be one (1) door to the soft count room. The door must:

- (A) accommodate the drop box storage cart; and
- (B) be lockable from outside the soft count room.

Individuals inside the soft count room shall be able to open the soft count door from the inside in order to exit the soft count room in case of an emergency.

(2) There may be a currency counter or the equivalent.

(3) There shall be:

- (A) no windows in the soft count room that can be opened to access the outside of the casino;
- (B) a telephone located in the soft count room that is used only in the case of an emergency or normal work functions to contact:
  - (i) surveillance;
  - (ii) security;
  - (iii) the enforcement agent; or
  - (iv) any other necessary party; and
- (C) a count table constructed of clear glass-like material that is used for the emptying, counting, and recording of the contents of the drop boxes and bill validators.

(c) The casino licensee shall take the following security measures with respect to the soft count room:

(1) No individual shall carry a pocketbook or other nontransparent container into the soft count room other than containers used in the soft count process.

(2) Access to the soft count room shall be restricted to the following individuals:

- (A) Members of the soft count team.
- (B) Members of the currency collection team.
- (C) Maintenance personnel and supervisors who are accompanied by security personnel for problem resolution.
- (D) The internal auditor or equivalent, accompanied by security personnel, to verify the accuracy of the count machine.
- (E) Security personnel in conjunction with official duties.
- (F) Main bank employees in conjunction with official duties reconciling the soft count.
- (G) Enforcement agents in the performance of official duties.
- (H) Individuals specifically authorized by the commission or enforcement agents.

(3) The count procedures conducted in the soft count room must be conducted in full view of the surveillance cameras.

(4) Once the soft count team has entered the soft count room containing the drop boxes or bill changer boxes, or both, the door to the soft count room shall be locked by a security department employee.

(5) The vents and duct grating connected to the soft count room shall be secured to ensure that they cannot be removed.

(6) After the soft count team has entered the soft count room and the door has been locked, no one except:

- (A) commission personnel;
- (B) individuals specifically authorized by the commission;
- (C) main bank employees; and
- (D) currency collection team members who are dropping off drop boxes;

is allowed access to the soft count room.

(7) No individual in the soft count room may remove his or her hands from or return them to a position on or above the count table unless the individual holds the backs and palms of his or her hands straight out and exposed to the view of the other individuals present in the soft count room and the surveillance camera.

(8) The trash accumulated in the soft count room shall be inspected before the trash being removed from the soft count room.

(9) The soft count room shall be equipped with equipment that allows the surveillance department to do the following in accordance with [68 IAC 12-1](#):

- (A) Monitor and record the entire:
  - (i) count process; and
  - (ii) soft count room;both audibly and visually.
- (B) Monitor and visually record:
  - (i) the individuals who enter and exit the soft count room; and
  - (ii) the values that are reflected on a count machine used to conduct the soft count.

- (C) Monitor and record, both audibly and visually, any other activity or area of the soft count room deemed necessary by the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.
- (10) There shall be a sign in the soft count room stating that the activity of individuals in the soft count room will be monitored and recorded in accordance with this rule and [68 IAC 12-1](#).
- (11) Keys to the soft count room shall be maintained by the security department in accordance with [68 IAC 11-7](#). Access to the soft count room shall be gained only by or through a security officer.
- (12) The soft count room shall be designed and built to provide maximum security for the:
- (A) funds contained; and
  - (B) activities that are conducted;
- in the soft count room.
- (13) Any currency, coins, ~~or chips or tokens~~ found in the soft count room shall:
- (A) become the property of the casino licensee; and
  - (B) be included in the soft count.

*(Indiana Gaming Commission; [68 IAC 11-3-3](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3323; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 37. [68 IAC 11-3-6](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 11-3-6](#) Soft count process**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 6. (a) The soft count process shall be neither commenced nor continued unless at least three (3) members of the soft count team are present in the soft count room.

(b) The soft count process shall proceed in the following manner:

(1) The soft count team shall notify surveillance prior to the initiation of the soft count. Surveillance shall visually record the entire soft count process.

(2) A security officer shall give the soft count team access to the soft count room. The soft count room door shall be locked after the soft count team has entered the soft count room.

(3) After the soft count team has entered the soft count room and the door has been locked, no one except:

- (A) authorized commission personnel;
  - (B) individuals specifically authorized by the commission;
  - (C) main bank employees; and
  - (D) drop box collection team members who are dropping off drop boxes;
- are allowed access to the soft count room.

(4) Prior to the initiation of the count, the currency counter shall be tested for accuracy by using a precounted amount of currency from the first live gaming device drop box or bill validator drop box that is to be counted. A discrepancy of two percent (2%) or more must be resolved to the satisfaction of the soft count supervisor, or his or her designee, prior to the use of the currency counter. The results of the test shall be documented and retained for a period of one (1) year. The currency counter test results shall be signed and dated by the individual who conducted the test.

(5) Prior to the commencement of the soft count, the recorder shall generate a drop box verification report.

(c) The soft count team shall handle drop boxes in the following manner:

(1) An individual drop box shall be selected and the identification label displayed to the surveillance camera.

(2) The drop box shall be opened by the appropriate soft count team member, and the entire contents of the drop box shall be emptied onto the soft count table.

(3) The inside of the empty drop box shall be held up for full view by the surveillance camera, and at least one (1) member of the soft count team shall verify that the drop box is empty.

(4) The slide on the drop box shall be reset, and the door to the drop box shall be relocked.

(5) If the drop box is from a live gaming device, documents shall be separated from the currency, coins, **and** chips. ~~and tokens~~.

(6) The soft count team shall separate the currency, cash, **and** chips ~~and tokens~~ into individual denominations and count the currency, cash, **and** chips. ~~and tokens~~. The soft count team may, at its discretion, separate and count manually or by the use of a currency counter. Currency counters used by the casino licensee must be capable of displaying the result of the count.



- (7) Once the currency ~~tokens~~, and chips have been separated and counted, one (1) member of the soft count team shall:
- (A) complete the count slip on a form prescribed or approved by the commission; and
  - (B) sign and date the report.
- (8) A casino licensee shall conduct an additional, independent count of the separated currency ~~tokens~~, and chips. The casino licensee shall submit internal controls in accordance with [68 IAC 11](#) regarding the conduct of the independent count, including how the casino licensee shall guarantee independence of the independent count.
- (9) The recorder shall compare the two (2) count slips. If there is a discrepancy between the count slips, the difference shall be isolated to particular denomination of currency, coins, ~~tokens~~, or chips, and that denomination shall be recounted.
- (10) The recorder shall sign the count slip that is correct. If corrections need to be made to a count slip to ensure one (1) of the slips accurately reflects the count, the incorrect figures shall be struck through and initialed by the soft team count members that conducted the original count. The correct information shall then be entered on the count slip.
- (11) The recorder shall compare the documents removed from each drop box to those appearing on the drop box verification report. Appropriate adjustments may be made to the drop box verification report. Discrepancies between the documents removed from the live gaming devices drop boxes and the drop box verification report shall be noted for the internal auditor or the equivalent.
- (12) Once the drop boxes have been counted, the soft count team shall complete the master gaming report or the bill validator report.
- (13) Upon completion of the master gaming report, the soft count team members not performing the job of recorder shall run totals of the table count slips and compare that information to the totals recorded on the master gaming report. The casino licensee shall investigate variances of two percent (2%) or more. The reason for the variance, if known, shall be entered on the master gaming report. If the reason is not known, this shall be noted. The casino licensee may require investigations for variances of less than the threshold amount.
- (14) Variances of two percent (2%) or more that are not reconciled through subdivision (13) shall be investigated by the accounting director or designee. The results of the investigation shall be recorded on the master gaming report. The accounting director or designee shall sign and date the master gaming report. The casino licensee may require investigations for variances of less than the threshold amount.
- (15) After the results of the count process have been reconciled, the members of the soft count team shall sign and date the appropriate section of the master gaming report or the bill validator report.
- (16) After reconciliation has been completed by the soft count team, the main bank cashier shall be contacted. The main bank cashier shall complete an independent physical inventory of all of the currency, coins, **and** chips ~~and tokens~~ in the presence of at least one (1) soft count team member. The main bank cashier shall not have access to the master gaming report or the bill validator report until after the completion of the independent physical inventory.
- (17) Discrepancies between the independent physical inventory and the totals entered on the master gaming report or the bill validator report shall be investigated by independent recounts conducted by the casino licensee. If the master gaming report or the bill validator report was erroneous, it shall be voided and a new master gaming report or the bill validator report generated with the appropriate signatures. A voided copy of the master gaming report or the bill validator report shall be retained and attached to the completed and signed copy of the new master gaming report or bill validator report.
- (18) After reconciliation of the master gaming report, the bill validator report, and the physical inventory conducted by the main bank cashier, the main bank cashier shall verify the accuracy of and sign and date the master gaming report and the bill validator report in the appropriate section. When the main bank cashier signs the master gaming report and the bill validator report, the main bank assumes responsibility for the currency, coins, **and** chips. ~~and tokens~~.
- (19) All currency **and** chips ~~and tokens~~ shall be transported to the main bank for use during the gaming day. Transportation from the soft count room to the main bank shall be:
- (A) made by occupational licensees designated in section 2 of this rule; and
  - (B) observed by at least one (1) security officer.
- The amount transferred shall be added to the main bank's accountability sheet. One (1) copy of the master gaming report and the bill validator report shall be forwarded to the main bank.
- (20) The remaining amount of currency and coin may be deposited with the casino licensee's external bank.
- (21) The original table count slips, drop verification report, bill validator verification report, master gaming report, and bill validator report, with the appropriate tapes attached, shall be forwarded to the accounting department upon completion of the soft count process and after the currency, coin, **and** chips ~~and tokens~~ have been appropriately transferred or deposited.
- (22) The currency counter in the soft count room shall be monitored by the central computer system for

purposes of recording the amounts collected from each live gaming device and bill validator drop box. The information sent to the central computer system shall be printed out in the accounting department as a backup. The backup printouts shall be maintained by the accounting department for at least one (1) month. Electronic archival data shall be maintained for a period of one (1) year.

(23) In accordance with [68 IAC 15-7-3](#), the revenue auditor or the equivalent shall trace the total of the bill-in meter readings as recorded by the bill acceptor flash report to the actual count performed by the soft count team to determine variances. The casino licensee shall require the investigation of all variances. The results of the investigation shall be recorded and reported to the head of the accounting department and the commission audit staff.

(24) Every three (3) months, the internal auditor, or equivalent, shall verify the accuracy of the currency counter. The internal auditor, or equivalent, shall notify the commission immediately of a difference of plus or minus two percent (2%). The results of the currency counter testing shall be:

- (A) documented and retained for a period of one (1) year; and
- (B) signed and dated by the internal auditor.

~~(25) If foreign tokens are discovered during the count process, the foreign tokens shall be:~~

- ~~(A) separated and listed in the appropriate section of the master gaming report; and~~
- ~~(B) reported in accordance with [68 IAC 15-3](#).~~

~~(26)~~ **(25)** Difficulties in the soft count process shall be documented by the soft count supervisor or his or her designee as an appendix to the master gaming report and the bill validator report. The appendix shall be on a form prescribed or approved by the commission. Difficulties that shall be recorded include, but are not limited to, the following:

- (A) Mechanical or technical difficulties with the equipment.
- (B) Personnel problems that could affect the currency collection process or the soft count.
- (C) Unusual situations, such as large number of drop boxes devoid of currency, coins, ~~or chips. or tokens.~~
- (D) Reconciliation differences between the value that resulted from an independent count.

(d) A casino licensee shall not transfer currency, coins, ~~or chips or tokens~~ from the soft count room during the soft count process or before the appropriate amounts are added to the main bank's accountability.

*(Indiana Gaming Commission; [68 IAC 11-3-6](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3324; filed May 29, 1998, 5:10 p.m.: 21 IR 3698; filed Jun 19, 2000, 10:34 a.m.: 23 IR 2700; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 38. [68 IAC 11-4-1](#) IS AMENDED TO READ AS FOLLOWS:

#### **[68 IAC 11-4-1](#) General provisions**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 1. (a) This rule applies to all riverboat licensees.

(b) The following definitions apply throughout this rule:

(1) "Closer" means the original copy of the inventory slip that:

- (A) is deposited into the drop box; and
- (B) contains the closing dollar amount of the live gaming device.

(2) "Inventory slip" means a two-part form containing the count of the chips ~~or tokens~~ remaining at the live gaming device when a live gaming device is closed.

(3) "Opener" means the duplicate copy of the inventory slip that:

- (A) remains at the table; and
- (B) contains the opening dollar amount of the live gaming device.

*(Indiana Gaming Commission; [68 IAC 11-4-1](#); filed Sep 10, 1997, 3:00 p.m.: 21 IR 22; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 39. [68 IAC 11-4-2](#) IS AMENDED TO READ AS FOLLOWS:

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**68 IAC 11-4-2 Live gaming device inventory**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) In accordance with [68 IAC 11-1](#), the riverboat licensee shall submit internal control procedures covering:

- (1) live gaming device inventory; and
- (2) the opening and closing of a live gaming device.

(b) The live gaming device inventory of chips ~~and tokens~~ shall be maintained in a tray, which is covered with a transparent, locking lid when the live gaming device is closed. The opener shall be placed inside the transparent locking lid and the information on the opener shall be visible from the outside of the cover.

(c) The live gaming device inventory slip shall be a two-part form. On the original copy of the slip, the closer, and on the duplicate of the slip, the opener, the live gaming device inventory slip shall, at a minimum, include the following information:

- (1) The name of the riverboat licensee.
- (2) The date and time the inventory slip is generated.
- (3) The shift and pit number.
- (4) The live gaming device type and number.
- (5) The denomination and total of all chips ~~and tokens, or both~~, remaining at the live gaming device.
- (6) The total dollar amount of all chips ~~and tokens, or both, that are~~ remaining at the live gaming device.
- (7) The name, occupational license number, and signature of the individual generating the inventory slip.

(d) The riverboat licensee shall not accept chips ~~or tokens~~ from any other riverboat.

(e) Chips ~~and tokens~~ shall only be added or removed from the live gaming device inventory when one (1) or more of the following occurs:

- (1) In exchange for cash, coupons, markers, or the equivalent presented by the player.
- (2) For payment of winning wagers or collection of losing wagers made at the live gaming device.
- (3) Through live gaming device fill and credit procedures.
- (4) In exchange with players for gaming chips ~~or tokens~~ of equal value.

(f) The transfer or exchange of chips ~~tokens~~, and currency between live gaming devices is prohibited.

*(Indiana Gaming Commission; [68 IAC 11-4-2](#); filed Sep 10, 1997, 3:00 p.m.: 21 IR 22; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 40. [68 IAC 11-4-3](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-4-3 Opening of live gaming device](#)**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 3. (a) Immediately before opening a live gaming device, a security officer shall do the following:

- (1) Obtain the key to the locked live gaming device tray lid from the main bank in accordance with [68 IAC 11-7](#).
- (2) Turn the key over to the pit boss or the equivalent who is designated to access the live gaming device tray.

(b) In the presence of the appropriate level of occupational licensee assigned to the live gaming device, the pit boss or the equivalent shall unlock the transparent live gaming device tray lid.

(c) The occupational licensee assigned to the live gaming device shall do the following:

- (1) Count the chips ~~and tokens~~ by denomination in the presence of a pit boss or the equivalent. ~~and~~

(2) Verify the count to the opening dollar amount of the opener removed from the live gaming device tray.

(d) The occupational licensee and the pit boss or the equivalent that observed the count of the contents of the tray shall sign the opener attesting to the accuracy of the information recorded on the opener.

(e) Once the opener is signed, the occupational licensee shall immediately deposit the opener into the drop box attached to the live gaming device.

(f) The riverboat licensee shall implement procedures to be followed when the counted inventory differs from the amount recorded on the opener. These procedures shall be completed before the opening of the live gaming device. These procedures shall include, at a minimum, the following:

- (1) The preparation of an error form by the table games manager.
- (2) The signatures required on the error form.
- (3) The distribution of each part of the form.
- (4) Ensuring that at least one (1) part is deposited in the drop box.

(g) A riverboat licensee shall do the following:

- (1) Notify the enforcement agent, in writing, immediately, upon the discovery of a live gaming device inventory or live gaming device tray that has been compromised.
- (2) Provide a written explanation, including all conclusions to the enforcement agent and the executive director within twenty-four (24) hours.

*(Indiana Gaming Commission; [68 IAC 11-4-3](#); filed Sep 10, 1997, 3:00 p.m.: 21 IR 23; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); readopted filed Nov 26, 2013, 3:58 p.m.: [20131225-IR-068130354RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 41. [68 IAC 11-4-4](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-4-4](#) Closing of live gaming device**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 4. (a) At any time when a live gaming device is closed, chips and tokens remaining at the live gaming device shall be counted by the appropriate level of occupational licensee assigned to the live gaming device and verified by the pit boss or the equivalent.

(b) A live gaming device inventory slip shall be prepared.

(c) The occupational licensee and the pit boss or the equivalent who observed the count of the contents of the tray shall sign the inventory slip at the time of closing the live gaming device attesting to the accuracy of the information recorded.

(d) The occupational licensee shall immediately deposit the closer in the drop box.

(e) The pit boss or the equivalent shall place the opener on the live gaming device tray in a manner that the amounts on the opener may be read through the cover, and lock the transparent live gaming device tray lid in place.

*(Indiana Gaming Commission; [68 IAC 11-4-4](#); filed Sep 10, 1997, 3:00 p.m.: 21 IR 23; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 42. [68 IAC 11-5-1](#) IS AMENDED TO READ AS FOLLOWS:

**Rule 5. Chips**

**68 IAC 11-5-1 General provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) This rule applies to casino licensees.

(b) Casino licensees shall submit the procedures that the casino licensee shall implement to ensure that the ~~tokens and~~ chips are accurately and regularly counted to prevent the loss of assets.

(c) All ~~racked tokens and~~ primary chip inventories must be rotated and counted, at a minimum, on a daily basis. Secondary sets of chips ~~and tokens~~ shall be rotated and counted in accordance with [68 IAC 15-4-3](#).

(d) The casino licensee shall submit a list of the titles of employees authorized to participate in the chip ~~and token~~ rotation and count. These employees must hold an occupational license, Level 2 or higher. Amendments to the list of employees authorized to participate in the chip ~~and token~~ rotation and count must be submitted to the enforcement agent as the amendment occurs. The employee title must be submitted to the enforcement agent before an employee with the title participates in the chip ~~and token~~ rotation and count.

(e) The casino licensee shall maintain the following information concerning chip ~~and token~~ rotations on a form approved by the commission:

(1) The date and time that the chip ~~or token~~ rotation was performed.

(2) The:

(A) printed name;

(B) signature; and

(C) occupational license number;

of the occupational licensee who performed the chip ~~or token~~ rotation.

(3) Discrepancies that were discovered as a result of the chip ~~or token~~ inventory.

(4) The:

(A) steps that were taken to investigate the discrepancies; and

(B) results of the investigation that was conducted concerning the discrepancies; discovered as a result of the chip ~~or token~~ inventory.

*(Indiana Gaming Commission; [68 IAC 11-5-1](#); filed Jan 30, 1998, 11:00 a.m.: 21 IR 2061; filed Dec 29, 1998, 10:27 a.m.: 22 IR 1420; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1066; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 43. [68 IAC 11-5-2](#) IS AMENDED TO READ AS FOLLOWS:

**68 IAC 11-5-2 Submission of internal control procedure**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 2. (a) In accordance with [68 IAC 11-1](#), the casino licensee or casino license applicant shall submit internal control procedures covering the rotation and counting of chips ~~and tokens~~ to the executive director.

(b) The internal control procedures for chip ~~and token~~ rotation and counts shall include, at a minimum, the following information:

(1) The manner in which:

(A) ~~racked tokens and~~ primary chip inventories; and

(B) secondary chips;

will be rotated and counted.

(2) The documentation the casino licensee will maintain to ensure the rotations and counts set forth in subdivision (1) ~~is~~ **are** conducted.

(3) The occupational licensees who will be responsible for conducting the chip and ~~token~~ rotations and counts.

(Indiana Gaming Commission; [68 IAC 11-5-2](#); filed Jan 30, 1998, 11:00 a.m.: 21 IR 2061; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 44. [68 IAC 11-7-1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-7-1](#) General provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) This rule applies to casino licensees.

(b) For the purposes of this rule, "sensitive keys" means keys that either management or the commission considers sensitive to the casino licensee's operation and therefore require strict control over custody and issuance. The term includes, but is not limited to, keys that will allow access to the following:

- (1) Currency.
- (2) Chips.
- ~~(3) Tokens.~~
- ~~(4)~~ (3) Electronic gaming devices.
- ~~(5)~~ (4) An item that would affect the integrity or outcome of a game.

(Indiana Gaming Commission; [68 IAC 11-7-1](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3302; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 45. [68 IAC 11-8-1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-8-1](#) General provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) This rule applies to casino licensees.

(b) As used in this rule, "cash" means the following:

- (1) Cash.
- (2) Cash equivalent.
- (3) A coupon issued by the casino licensee that may be exchanged for chips. ~~or tokens, or both.~~

(Indiana Gaming Commission; [68 IAC 11-8-1](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3303; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 46. [68 IAC 11-8-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 11-8-2](#) Presentation of cash or coupons**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) Whenever cash or a coupon is presented by a player at a gaming table for exchange of gaming chips, the following procedures and requirements shall be observed:

- (1) The cash shall be spread on the top of the gaming table by the dealer or box person accepting it in full view of the following:
  - (A) The player who presented it.
  - (B) The pit boss or the equivalent assigned to such gaming table.
  - (C) The surveillance system.
- (2) The cash value amount shall be verbalized by the dealer or box person accepting it in a tone of voice



calculated to be heard by the player and the pit boss or the equivalent assigned to such gaming table.

(3) Immediately after the cash value is announced, the cash shall be moved away from the player and the dealer or box person shall display the equivalent amount of chips ~~or tokens, or both~~, in full view of the following:

- (A) The player.
- (B) The pit boss or the equivalent assigned to such gaming table.
- (C) The surveillance system.

The chips ~~or tokens, or both~~, shall then be presented to the player.

(4) Immediately after the chips ~~or tokens, or both~~, have been presented to the player, the cash shall be taken from the top of the gaming table and placed by the dealer or box person into the drop box attached to the gaming table.

(b) No cash wagers shall be allowed to be placed at any gaming table. The cash shall be converted to chips prior to acceptance of a wager.

*(Indiana Gaming Commission; [68 IAC 11-8-2](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3303; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 47. [68 IAC 12-1-3](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 12-1-3](#) Equipment specifications**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 3. (a) Casino licensees must install a surveillance system in accordance with this rule.

(b) Surveillance systems may use digital video recording to comply with the requirements of this rule.

(c) The equipment used in the surveillance system must meet or exceed the following standards:

(1) Black and white cameras must be as follows:

- (A) Solid state.
- (B) Two-thirds (2/3) or one-half (1/2) format.
- (C) Minimum four hundred (400) plus line resolution installed in fixed positions with matrix control or pan, tilt, and zoom capabilities.
- (D) Secreted from the public and nonsecurity personnel view to effectively and clandestinely monitor, in detail, from various points, the coverage described in this rule.

(2) Color cameras must be as follows:

- (A) Two-thirds (2/3) or one-half (1/2) format.
- (B) Minimum three hundred twenty (320) plus line resolution with matrix control or pan, tilt, and zoom capabilities.
- (C) Secreted from the public and nonsecurity personnel view to effectively and clandestinely monitor, in detail, from various points, the coverage described in this rule.

(3) Cameras must be equipped with lenses of sufficient magnification capabilities to allow the operator to clearly distinguish the value of the following:

- (A) Chips.
- (B) Dice.
- ~~(C) Tokens.~~
- ~~(D) (C) Playing cards.~~
- ~~(E) (D) Keno balls.~~
- ~~(F) (E) Positions on the roulette wheel.~~
- ~~(G) (F) Cash and cash equivalents.~~

(4) Surveillance system display screens must be as follows:

- (A) Meet or exceed the highest resolution capabilities of video cameras used in a casino licensee's surveillance system.
- (B) Be equipped with a date and time generator synchronized to a central clock and the central computer system capable of being:

- (i) displayed on any of the surveillance system display screens; and
- (ii) recorded on video tape, video pictures, or digital images.
- (C) A surveillance system display screen must be as follows:
  - (i) Measure diagonally at least twelve (12) inches.
  - (ii) Have all controls located on the front of the surveillance system display screen.
  - (iii) Possess solid state circuitry.
- (5) Analog videotape recorders must be as follows:
  - (A) Produce high quality, first generation pictures that meet or exceed the highest resolution capabilities of video cameras used in a casino licensee's surveillance system.
  - (B) Be nonconsumer, industrial grade, capable of recording on a standard one-half (1/2) inch VHS tape with the following:
    - (i) High speed scanning.
    - (ii) Flickerless playback capability in real-time.
  - (C) Be capable of taping what is viewed by any camera in the system.
  - (D) Be of a sufficient number to allow the following:
    - (i) Simultaneous taping of coverage required by this rule.
    - (ii) Off-line playback.
    - (iii) Duplication capabilities.
    - (iv) Single channel recorders in the following areas, unless otherwise approved by the executive director or designee:
      - (AA) Entry and exit turnstiles.
      - (BB) All areas of the main bank and casino cages.
      - (CC) Table games.
      - (DD) Count rooms.
      - (EE) Ticket redemption kiosks.
      - (FF) Automated teller machines.
      - (GG) Bill breakers.
    - (v) No more than four (4) channels per single unit in all other areas where surveillance is required, unless otherwise approved by the executive director or designee.
- (6) Video printers must be capable of the following:
  - (A) Adjustment.
  - (B) Generating instantaneous, upon command clear, color, or black and white copies of images depicted on the surveillance system display screen or video recording.
- (7) Printers used in conjunction with a digital video recording system must be capable of printing a clear, still copy using a minimum of four (4) colors at six hundred (600) by six hundred (600) dots per inch on photo quality paper.
- (8) Date and time generators must be as follows:
  - (A) Be based on a synchronized central or master clock.
  - (B) Be capable of being recorded along with an image, so that the date and time are visible on any surveillance system display screen when recorded.
  - (C) Have a backup power supply so that it remains accurate despite power interruptions.
- (9) Equipment must allow audio capabilities in the soft count room.
- (10) Wiring systems must be designed to prevent tampering and must possess the following requirements or capabilities:
  - (A) Be supplemented with a backup gas generator power source or diesel generator power source, or both, that automatically engages in case of a power failure.
  - (B) Be capable of returning full power within seven (7) to ten (10) seconds after a power failure.
- (11) Video switchers must be capable of both manual and automatic sequential switching for the appropriate cameras.
- (12) The following must be in reserve in the event of equipment malfunctions:
  - (A) A minimum of the following four (4) backup cameras:
    - (i) Two (2) fixed position cameras with matrix control.
    - (ii) Two (2) with pan, tilt, and zoom capabilities.
  - (B) Two (2) recording devices.
- (13) Digital video systems, which are used to comply with the requirements of this rule for surveillance required by section 4 of this rule, must meet the following additional standards:
  - (A) Digital video systems shall be enterprise systems capable of the following:
    - (i) Instant replay.
    - (ii) Recording what is viewed by any camera in the system.
    - (iii) Allowing simultaneous recording and playback.
    - (iv) Providing uninterrupted recording while using the playback or copy functions.

- (B) Image quality of digital video systems must be as follows:
  - (i) Function utilizing image by image compression.
  - (ii) Be capable of recording and viewing at a minimum of thirty (30) frames per second, full screen on every channel in the system.
- (C) Digital video systems must record and view at a minimum rate of the following:
  - (i) Thirty (30) frames per second in the following areas:
    - (AA) Table games areas.
    - (BB) All images of cash or cash equivalents being transported.
    - (CC) Areas of the main bank and casino cages.
    - (DD) Count rooms.
    - (EE) All images viewed on a surveillance system display screen.
    - (FF) Entry and exit turnstiles.
  - (ii) Seven and one-half (7.5) frames per second in parking areas and nonsensitive areas of the pavilion.
  - (iii) Fifteen (15) frames per second in the following areas:
    - (AA) Electronic gaming device areas.
    - (BB) Where gaming equipment is transported or stored on the property of the casino licensee.
    - (CC) All images that constitute redundant coverage of areas already covered at thirty (30) frames per second.
    - (DD) Any area not specified in item (i) or (ii).
  - (iv) Two (2) frames per second in any area, including those specified in items (i), (ii), and (iii), if:
    - (AA) motion activated recording is used; and
    - (BB) no activity is taking place in the area.
- (D) Digital video systems shall have the following:
  - (i) Live and recorded visual resolution with clarity the equivalent of four (4) common intermediate format (4CIF) or better.
  - (ii) The following reliability guarantees:
    - (AA) Redundant system drives.
    - (BB) Redundant power supplies.
    - (CC) Storage the equivalent of redundant array of independent disks five (5) (RAID 5) or better.
    - (DD) Be equipped with hot swappable backup storage components, which will automatically resume recording in the event of failure of any single component of the storage system, such that the failure of any single component will not result in the loss of data from the storage system.
    - (EE) Failure of the digital video recording system must be repaired within twenty-four (24) hours of the failure.
    - (FF) Fault tolerant storage.
    - (GG) Automatic restart in the event of failure.
- (E) Digital video systems must meet the following security standards to guarantee the integrity of the system and recordings:
  - (i) Function as a closed network with access limited to those persons identified in written policies governing the administration of the network, specifying the access levels of the individuals who will have the ability to access the network.
  - (ii) Be equipped to ensure that transmissions are encrypted, fire-walled on both ends, and password protected.
  - (iii) Be equipped with a failure notification system that provides an audible and a visual notification of a failure in the surveillance system or the digital video recording storage system.
  - (iv) Record all images and audit trail records on a hard drive.
  - (v) Be locked by the manufacturer to do the following:
    - (AA) Disable the erase and reformat functions.
    - (BB) Prevent access to the system data files.
  - (vi) Be equipped with data encryption or watermarking so that surveillance personnel will be capable of demonstrating in a court of law that the video was not altered or manipulated in any way.

(d) Telephone capabilities must be connected to the casino general telephone system. Radio communications must be connected with the security department.

*(Indiana Gaming Commission; [68 IAC 12-1-3](#); filed Feb 13, 1996, 5:30 p.m.: 19 IR 1558; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Jun 2, 2006, 4:45 p.m.: 29 IR 3334; readopted filed Nov 16, 2012, 10:51 a.m.: [20121212-IR-068120413RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

**[68 IAC 12-1-5](#) Surveillance system required coverage**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 5. (a) Surveillance employees shall:

- (1) monitor regularly; and
- (2) visually record, either by:
  - (A) continuous recording; or
  - (B) motion activation;whichever is appropriate;

the surveillance system coverage of the areas described in this section.

(b) The surveillance system shall provide coverage of each of the following areas as specified in this rule:

(1) Areas of the main bank, including the following:

(A) A general overview of the entire area of each cage and vault area with sufficient clarity to identify patrons and employees.

(B) Dedicated coverage with sufficient clarity to identify the following:

(i) Currency.

(ii) Coin.

~~(iii) Tokens.~~

~~(iv) (iii) Cash.~~

~~(v) (iv) Cash equivalents.~~

~~(vi) (v) Chip values.~~

~~(vii) (vi) Amounts on credit slips in an area where fills and credits are transacted.~~

(2) Hard and soft count rooms including a general overview of each room and additional dedicated coverage capable of clearly identifying the following:

(A) Employees.

(B) The value of cash and cash equivalents.

(3) The route, both inside and outside the casino, through which monies are transported.

(4) The location in which cards and dice are stored and canceled.

(5) Ticket redemption kiosks, automated teller machines, and bill breakers with dedicated coverage sufficient to identify the following:

(A) Individuals using or servicing the machine.

(B) Whether or not cash was received by the individual as a result of the transaction.

(c) The surveillance system must provide an overall view of pit areas and gaming tables capable of clearly identifying the following:

(1) Dealers.

(2) Patrons.

(3) Hands of the participants.

(4) Facial views of the participants.

(5) Pit personnel.

(6) Activities of the pit personnel.

(7) The amount and incrementation of a progressive jackpot contained on a progressive jackpot display of a live gaming device.

(d) The playing surface of the live gaming devices must be viewed by the surveillance system with sufficient clarity to do the following:

(1) Determine the following:

(A) Wagers.

(B) Card values.

(C) Game results.

(2) Clearly observe, in detail, the following:

(A) Chip trays.

~~(B) Token holders.~~

~~(C) (B) Cash receptacles.~~

~~(D) (C) Tip boxes.~~

- ~~(E)~~ **(D)** Dice.
- ~~(F)~~ **(E)** Shuffle machines.
- ~~(G)~~ **(F)** Card shoes.

(e) Roulette tables must be viewed by the surveillance system with color cameras.

(f) Electronic gaming device surveillance must be capable of providing the following:

- (1) A view of all patrons.
- (2) A facial view of the patrons with sufficient clarity to allow identification of a patron.
- (3) A view of the electronic gaming device with sufficient clarity to observe the result of the game.
- (4) An overall view of the areas around the electronic gaming device.
- (5) A view of bill validators with sufficient clarity to determine bill value and the amount of credit obtained.
- (6) Progressive games, including dedicated coverage of the following:
  - (A) An electronic gaming device or group of electronic gaming devices with a possible jackpot payout in excess of fifty thousand dollars (\$50,000).
  - (B) The progressive display showing the incrementation of the progressive jackpot for an electronic gaming device or a bank of electronic gaming devices.

(g) The surveillance system must include cameras dedicated to monitoring areas where the following items are transported or stored:

- (1) Cash.
- (2) Cash equivalents.
- ~~(3) Tokens.~~
- ~~(4) (3) Chips.~~
- ~~(5) (4) Cards.~~
- ~~(6) (5) Dice.~~
- ~~(7) Drop buckets containing tokens or any monetary equivalent.~~

(h) The surveillance system must include cameras dedicated to monitoring the following:

- (1) All activities in any area of the security office where a person may be detained and questioned by the security department. Areas where a person may be detained and questioned must display a notice clearly stating that the area is or may be under surveillance.
- (2) The entrances and exits of the casino and the entrances and exits of the following rooms in the casino with sufficient clarity to identify a person using the entrances and exits:
  - (A) Count rooms.
  - (B) Vaults.
  - (C) Surveillance rooms.
  - (D) Security rooms.
  - (E) Cage areas.

*(Indiana Gaming Commission; [68 IAC 12-1-5](#); filed Feb 13, 1996, 5:30 p.m.: 19 IR 1559; filed Aug 20, 1997, 7:11 a.m.: 21 IR 16; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Jun 2, 2006, 4:45 p.m.: 29 IR 3336; readopted filed Nov 16, 2012, 10:51 a.m.: [20121212-IR-068120413RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 49. [68 IAC 12-1-5.5](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 12-1-5.5](#) Surveillance system capabilities**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 5.5. Surveillance employees shall visually record the following events when they are known to occur on the property directly or indirectly owned or operated by a casino licensee:

- (1) Activity by players and employees, alone or in concert, that may constitute cheating or stealing.
- (2) Observed criminal activity.
- (3) Observed procedural violations by employees.
- (4) Detention of persons.
- (5) Treatment of disorderly individuals.

- (6) Emergency activities capable of being observed by the system.
- (7) Treatment of:
  - (A) persons on the exclusion list; and
  - (B) participants in the voluntary exclusion program.
- (8) Arrests and evictions.
- (9) Treatment of ill or injured patrons.
- (10) Movement of:
  - (A) cash;
  - (B) cash equivalents;
  - ~~(C) tokens;~~
  - ~~(D)~~ **(C)** cards;
  - ~~(E)~~ **(D)** chips; or
  - ~~(F)~~ **(E)** dice;on the casino floor.
- (11) On-site maintenance and repair of gaming or money handling equipment.
- (12) Any other activity deemed necessary by the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

*(Indiana Gaming Commission; [68 IAC 12-1-5.5](#); filed Jun 2, 2006, 4:45 p.m.: 29 IR 3337; readopted filed Nov 16, 2012, 10:51 a.m.: [20121212-IR-068120413RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 50. [68 IAC 12-1-8](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 12-1-8](#) Logs**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 8. (a) An activity log must be as follows:

- (1) Continuously maintained by surveillance employees.
- (2) Changed with each shift change of employees.
- (3) Chronological.
- (4) Contain, at a minimum, the following:
  - (A) The date and time of each entry.
  - (B) The identity of the employee making the entry.
  - (C) A summary of the activity recorded.
  - (D) Detail of whether the activity was monitored.
  - (E) Detail of the disposition of copies of recordings of the activity.
- (5) Include entries for the following events and notifications received by surveillance employees about the events:
  - (A) The identity of surveillance employees on duty.
  - (B) Maintenance or repair of a gaming device or money handling equipment.
  - (C) Live table drop box exchanges.
  - (D) Electronic gaming device drop bucket exchanges.
  - (E) Movements or transfers of the following:
    - (i) Cash.
    - (ii) Cash equivalents.
    - (iii) Chips.
    - ~~(iv) Tokens.~~
    - ~~(v)~~ **(iv)** Cards.
    - ~~(vi)~~ **(v)** Dice.
  - (F) Detention or questioning of patrons or employees by the security department, including the identity of the following:
    - (i) Patrons or employees.
    - (ii) Security department personnel involved.
  - (G) The beginning, end, and any interruptions of the following:
    - (i) The soft count.
    - (ii) The hard count.
  - (H) Observed:
    - (i) procedural or control errors; or



- (ii) criminal activity.
  - (I) Pertinent:
    - (i) telephone calls; or
    - (ii) radio transmissions.
  - (J) Malfunctions or repair of surveillance equipment.
  - (K) Emergency activity.
  - (L) Surveillance conducted on anyone or any activity that appears:
    - (i) unusual, irregular, or illegal; or
    - (ii) to violate [IC 4-33](#), [IC 4-35](#), or this title.
  - (M) Surveillance conducted at the request of:
    - (i) a casino licensee;
    - (ii) personnel of the casino licensee;
    - (iii) a commission employee; or
    - (iv) an enforcement agent.
  - (N) Any other notations deemed necessary by surveillance employees or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.
- (6) Retained for at least ninety (90) days.

(b) An incident report must be as follows:

- (1) Made by the person responsible for monitoring the activity.
- (2) Contain details of an incident observed that involved unusual or criminal activity.
- (3) Provided to a gaming agent and the executive director or the executive director's designee.
- (4) Retained a minimum of ninety (90) days.

(c) A visitor's log must do the following:

- (1) Include the signature of anyone other than surveillance employees on duty who access the surveillance room.
- (2) Identify visitors.
- (3) State the following:
  - (A) The department or agency the visitor represents.
  - (B) The reason for access to the room.
- (4) Provide the date and time of arrival and departure from the room.
- (5) Be retained a minimum of ninety (90) days.

(d) Surveillance room recordings, logs, and reports must be as follows:

- (1) Retained in a manner to allow them to be easily retrieved by the following:
  - (A) Time.
  - (B) Date.
  - (C) The location of activity.
  - (D) The type of activity.
- (2) Provided to an enforcement agent or commission employee immediately upon request.

*(Indiana Gaming Commission; [68 IAC 12-1-8](#); filed Feb 13, 1996, 5:30 p.m.: 19 IR 1561; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Jun 2, 2006, 4:45 p.m.: 29 IR 3339; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); readopted filed Nov 16, 2012, 10:51 a.m.: [20121212-IR-068120413RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 51. [68 IAC 14-2-2](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 14-2-2](#) Live gaming device table requirements**

**Authority:** [IC 4-33-4](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) Each live gaming device must have, at a minimum, the following:

- (1) Each live gaming device must have a drop box attached to it that meets the following requirements:
  - (A) One (1) lock that secures the contents of the drop box.
  - (B) A separate lock that attaches the drop box to the live gaming device. The keys to the lock securing the contents of the drop box and attaching the drop box to the live gaming device must be separate.

(C) A slot opening through which:

- (i) currency;
- (ii) coins;
- ~~(iii) tokens;~~
- ~~(iv) (iii) chips;~~
- ~~(v) (iv) forms;~~
- ~~(vi) (v) records; and~~
- ~~(vii) (vi) documents;~~

can be inserted into the drop box.

(D) Be equipped with a mechanical device that automatically closes and locks the slot opening upon removal of the drop box from the live gaming device.

(E) Is attached to the side of the live gaming device table at which the dealer is located or at another location approved by the executive director.

(F) Have the type of game, the shift, and the live gaming device table number to which the drop box is attached permanently imprinted on the drop box. The imprinted information must be clearly visible.

(2) Each live gaming device shall be capable of having a tip box attached to it for the deposit of tips and gratuities received by the dealer. If a live gaming device has a tip box attached to it, the tip box must meet the following requirements:

(A) Be a transparent container.

(B) Be locked.

(C) Be secured to the table. If the tip box is attached by means of a lock, the key to remove the tip box from the table must be separate from the key that opens the tip box.

(D) Be attached to the side of the live gaming device table at which the dealer is located or at another location approved by the executive director.

(3) Each live gaming device that utilizes a table layout must have the name of the riverboat licensee imprinted on the layout.

(b) The riverboat licensee may have emergency drop boxes to replace the drop boxes on a temporary basis.

The emergency drop boxes must:

(1) meet the requirements outlined in subsection (a)(1)(A) through (a)(1)(E); and

(2) have the word "EMERGENCY" permanently and clearly imprinted thereon.

*(Indiana Gaming Commission; [68 IAC 14-2-2](#); filed Jul 18, 1996, 9:05 a.m.: 19 IR 3294; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1066; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Sep 29, 2009, 3:08 p.m.: [20091028-IR-068090218FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 52. [68 IAC 14-5.5-2](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 14-5.5-2](#) Submission and approval**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 2. (a) Casino licensees shall not utilize, or allow to be utilized, any TITO that the executive director has not approved.

(b) The approval process shall be as follows:

(1) A casino licensee shall submit a detailed schematic of its proposed TITO at least ninety (90) days before the commencement of gambling operations or the utilization of a proposed TITO. The schematic shall be a true rendering of the actual TITO and display the information listed in section 3 of this rule.

(2) After the casino licensee has received approval of a detailed schematic of a proposed TITO, the casino licensee shall submit a sample of the TITO to the executive director for approval. The sample TITO shall be submitted no less than sixty (60) days prior to the commencement of gambling operations or the utilization of the proposed ~~token~~ TITO. The executive director shall, in writing, approve or disapprove the proposed TITO within twenty (20) days of receipt of its submission.

*(Indiana Gaming Commission; [68 IAC 14-5.5-2](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 53. [68 IAC 14-10-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 14-10-2](#) Caribbean Stud Poker table requirements**

**Authority:** [IC 4-33-4](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) The table must meet the requirements set forth in [68 IAC 14-2](#).

(b) The Caribbean Stud Poker table shall be covered with a cloth that meets the following requirements:

- (1) The patented name of Caribbean Stud Poker shall be imprinted on the cloth.
- (2) One (1) side of the cloth shall be designated for players and the opposite side designated for the dealer.
- (3) The cloth shall have at least seven (7) areas designated for the placement of wagers on bets approved in accordance with [68 IAC 10-6](#).
- (4) The table shall have at least seven (7) ~~token~~ **chip** slots for participation in the progressive jackpot corresponding with the placement of the table wagers.
- (5) An inscription reading "Dealer only plays with Ace/King or higher" shall appear on the cloth.
- (6) The rules concerning the operation of the game, including minimum and maximum wagers, payoffs, and the winning hands that qualify for a portion of the progressive jackpot, shall be posted at the table for public inspection.
- (7) The name of the riverboat licensee shall be imprinted on the cloth.

(c) The Caribbean Stud Poker table shall have a meter to display the current amount in the progressive jackpot.

(d) The Caribbean Stud Poker table shall have lights or some other mechanism that will signify which players, if any, inserted the appropriate ~~token~~ **chip** to participate in the progressive game.

(e) The table must meet any other requirements deemed necessary by the executive director or the commission to ensure:

- (1) compliance with the Act and this title; and
- (2) the integrity of the games.

*(Indiana Gaming Commission; [68 IAC 14-10-2](#); filed Jul 3, 1996, 5:00 p.m.: 19 IR 3042; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1067; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 25, 2012, 3:47 p.m.: [20120523-IR-068110275FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 54. [68 IAC 14-11-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 14-11-2](#) Table requirements**

**Authority:** [IC 4-33-4](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) The table must meet the requirements set forth in [68 IAC 14-2](#).

(b) The Let It Ride table shall be covered with a cloth that meets the following requirements:

- (1) The patented name of Let It Ride shall be imprinted on the cloth.
- (2) One (1) side of the cloth shall be designated for players and the opposite side designated for the dealer.
- (3) The cloth shall have not more than eight (8) areas designated for the placement of the three (3) wagers a player must initially place in accordance with [68 IAC 10-7](#).
- (4) If the Let It Ride bonus feature is offered at the Let It Ride table, there must be not more than eight (8) sensors that correspond with the placement of table wagers. The sensors are for:
  - (A) the side bet to be placed on; and
  - (B) participation in the bonus feature.
- (5) A designated area located in front of the dealer for the placement of the community cards.
- (6) The rules concerning the operation of the game, including minimum and maximum wagers, payoffs or payoff odds, and the winning hands that qualify for the bonus payment, shall be posted at the table for public

inspection.

(7) The name of the riverboat licensee shall be imprinted on the cloth.

(c) The Let It Ride table that offers the bonus feature must have sensor lights that are visible to the following:

- (1) The players.
- (2) The dealer.
- (3) The surveillance system and surveillance personnel.

The sensor lights must signify which players, if any, placed the one dollar (\$) ~~token~~ **chip** to participate in the bonus feature.

(d) The Let It Ride table must meet any other requirements deemed necessary by the executive director or the commission to ensure:

- (1) compliance with the Act and this title; and
- (2) the integrity of the games.

*(Indiana Gaming Commission; [68 IAC 14-11-2](#); filed Jun 1, 1998, 2:53 p.m.: 21 IR 3710; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1068; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 25, 2012, 3:47 p.m.: [20120523-IR-068110275FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 55. [68 IAC 14-12-2](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 14-12-2](#) Table requirements**

**Authority:** [IC 4-33-4](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) The Caribbean Draw Poker table must meet the requirements set forth in [68 IAC 14-2](#).

(b) The Caribbean Draw Poker table shall be covered with a cloth that meets the following requirements:

- (1) The patented name of Caribbean Draw Poker shall be imprinted on the cloth.
- (2) One (1) side of the cloth shall be designated for players and the opposite side designated for the dealer.
- (3) The cloth shall have not more than eight (8) designated areas for the placement of a wager by a player in accordance with [68 IAC 10-8](#).
- (4) The table shall have not more than eight (8) ~~token-in~~ **chip-in** slots for participation in the progressive jackpot corresponding with the placement of the table wagers.
- (5) An inscription reading "Dealer only plays with pair of eights or higher" shall appear on the cloth.
- (6) The rules concerning the operation of the game, including minimum and maximum wagers, payoffs or payoff odds, and the winning hands that qualify for the portion of the progressive jackpot, shall be posted at the table for public inspection.
- (7) The name of the riverboat licensee shall be imprinted on the cloth.

(c) The Caribbean Draw Poker table shall have a meter to display the current amount in the progressive jackpot.

(d) The Caribbean Draw Poker table that offers the progressive feature must have sensor lights that are visible to the following:

- (1) The players.
- (2) The dealer.
- (3) The surveillance system and surveillance personnel.

The sensor lights must signify which players, if any, inserted the appropriate ~~token~~ **chip** to participate in the progressive portion of the game.

(e) The Caribbean Draw Poker table must meet any other requirements deemed necessary by the executive director or the commission to ensure:

- (1) compliance with the Act and this title; and
- (2) the integrity of the games.

*(Indiana Gaming Commission; [68 IAC 14-12-2](#); filed Jun 1, 1998, 3:40 p.m.: 21 IR 3710; errata filed Aug 12, 1998,*

SECTION 56. [68 IAC 14-16-1](#) IS AMENDED TO READ AS FOLLOWS:

## Rule 16. Destruction of Counterfeit Chips

### [68 IAC 14-16-1](#) General provisions

Authority: [IC 4-33-4](#)

Affected: [IC 4-33](#)

Sec. 1. (a) This rule applies to all:

- (1) riverboat licensees; and
- (2) riverboat license applicants.

(b) As used in this rule, "counterfeit chips" ~~or tokens~~ means any chip-like ~~or token-like~~ objects that have not been approved under this article, including objects commonly referred to as slugs.

(Indiana Gaming Commission; [68 IAC 14-16-1](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3304; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 25, 2012, 3:47 p.m.: [20120523-IR-068110275FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 57. [68 IAC 14-16-2](#) IS AMENDED TO READ AS FOLLOWS:

### [68 IAC 14-16-2](#) Notice of counterfeit chips

Authority: [IC 4-33-4](#)

Affected: [IC 4-33](#)

Sec. 2. (a) The riverboat licensee or riverboat license applicant shall notify the gaming agent and the executive director immediately upon the discovery of a counterfeit chip. ~~or token.~~

(b) The executive director or the gaming agent may take possession of the counterfeit chip. ~~or token.~~

(c) The executive director shall determine the disposition of any counterfeit chip ~~or token~~, including, but not limited to, destruction of a counterfeit chip ~~or token~~ in accordance with section 3 of this rule.

(Indiana Gaming Commission; [68 IAC 14-16-2](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3304; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Apr 25, 2012, 3:47 p.m.: [20120523-IR-068110275FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 58. [68 IAC 14-16-3](#) IS AMENDED TO READ AS FOLLOWS:

### [68 IAC 14-16-3](#) Destruction of counterfeit chips

Authority: [IC 4-33-4](#)

Affected: [IC 4-33](#)

Sec. 3. (a) Unless:

- (1) the executive director;
- (2) the commission;
- (3) a gaming agent; or
- (4) a law enforcement officer;

instructs or a court of competent jurisdiction orders otherwise in a particular case, a riverboat licensee shall destroy or otherwise dispose of counterfeit chips ~~and tokens~~ discovered in the riverboat in a manner approved by the executive director in accordance with subsection (c).

(b) Unless the executive director, the commission, a gaming agent, or a law enforcement officer instructs or a court of competent jurisdiction orders otherwise in a particular case, a riverboat licensee may dispose of coins of the United States or any other nation discovered to have been incorrectly used in the riverboat or, in the case of foreign coins, by:

- (1) exchanging them for United States currency or coins and including same in their currency; or
- (2) disposing of them in any other lawful manner.

(c) The riverboat licensee shall notify the executive director, in writing, at least thirty (30) days before counterfeit chips ~~or tokens~~ are destroyed, of the following information:

- (1) The number and denominations, actual and purported, of the coins and counterfeit chips ~~and tokens~~ to be destroyed or otherwise disposed of under this rule.
- (2) The date on which they were discovered.
- (3) The anticipated date, place, and method of destruction or other disposition, including, in the case of foreign coin exchanges, the:
  - (A) exchange rate; and
  - (B) identity of the bank, exchange company, or other business or person at which or with whom the coins are to be exchanged.
- (4) The names of the occupational licensees that will carry out the destruction or other disposition on behalf of the riverboat licensee.
- (5) Any other information deemed necessary by the executive director or the commission to ensure compliance with the Act and this title.

(d) Unless otherwise approved by the executive director, at least two (2) people, one (1) of whom is a gaming agent or other employee of the commission, shall be present when the counterfeit chips ~~or tokens~~ are destroyed.

(e) Unless the executive director notifies the riverboat licensee or riverboat license applicant within thirty (30) days of the receipt of the letter set forth in subsection (c), the method of destruction will be deemed approved.

(f) Each riverboat licensee shall maintain records required by this rule for at least five (5) years.

*(Indiana Gaming Commission; [68 IAC 14-16-3](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3304; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Apr 25, 2012, 3:47 p.m.: [20120523-IR-068110275FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 59. [68 IAC 15-1-4.1](#) IS AMENDED TO READ AS FOLLOWS:

#### **[68 IAC 15-1-4.1](#) Found cash equivalents**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 4.1. Unless otherwise provided in this title, if an occupational licensee finds chips, ~~tokens~~, TITOs, cash, or cash ~~equivalent~~ **equivalents** in the casino, the occupational licensee must turn the chips, ~~tokens~~, TITOs, cash, or cash ~~equivalent~~ **equivalents** in to the appropriate area of the main bank of the casino licensee. The casino licensee shall maintain the chips, ~~tokens~~, TITOs, cash, or cash ~~equivalent~~ **equivalents** for a period of at least twenty (20) days to determine if a patron will claim the chips, ~~tokens~~, TITOs, cash, or cash ~~equivalent~~.

**equivalents**. If the chips, ~~tokens~~, TITOs, cash, or cash equivalents are not claimed by a patron, the casino licensee shall institute one (1) of the following policies with respect to unclaimed chips, ~~tokens~~, TITOs, cash, or cash equivalents turned in by occupational licensees:

- (1) If the chips, ~~tokens~~, TITOs, cash, or cash equivalents are not claimed by a patron, the chips, ~~tokens~~, TITOs, cash, or cash ~~equivalent~~ **equivalents** must be included in the drop on the gaming day the waiting period expires.
- (2) The casino licensee shall handle the chips, ~~tokens~~, TITOs, cash, or cash ~~equivalent~~ **equivalents** not claimed by a patron in accordance with a policy submitted by the casino licensee to the commission audit director and that has been approved by the executive director.

The casino licensee must disseminate this rule to all occupational licensees employed by the casino licensee or occupational licensees employed by another company but assigned to perform their duties at the casino licensee's casino gambling operation.



(Indiana Gaming Commission; [68 IAC 15-1-4.1](#); filed Jan 6, 1999, 4:25 p.m.: 22 IR 1423; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 60. [68 IAC 15-2-4](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-2-4](#) Reportable transactions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 4. (a) The casino licensee shall establish policies and procedures for the processing of cash transactions in excess of ten thousand dollars (\$10,000). Prior to the processing of a cash transaction in excess of ten thousand dollars (\$10,000), the casino licensee shall obtain, at a minimum, the information that is required by 31 U.S.C. 5313 and 31 CFR 103.

(b) If an individual or agent is conducting a transaction on behalf of another individual, the same information as described in subsection (a) must be obtained for the individual serving as the agent. This is in addition to the information required for the individual for whom the transaction is being conducted.

(c) Identification information must be verified by examining the identification presented by the patron. Acceptable identification for a United States resident includes the following:

- (1) Driver's license.
- (2) United States passport.
- (3) Other government issued photo identification cards.

(d) For aliens or nonresidents of the United States, acceptable identification includes the following:

- (1) Passport.
- (2) Alien identification card.
- (3) Other official documents evidencing nationality or residence.

(e) If the patron is unable to provide any of the above information or the identification provided is not acceptable, the casino licensee shall refuse the transaction until the casino licensee has obtained the necessary information.

(f) If the denied transaction involves chip redemptions or payment of winnings, and the patron is unable to provide adequate identification in order to verify the patron's identity and address, the patron has the option of placing the winnings on deposit or converting the winnings to chips and retaining possession of the chips. The casino licensee does, however, have the right to demand redemption of the chips. ~~and tokens~~. If the casino licensee chooses to exercise this right, the customer's winnings will be placed on deposit. If the customer chooses to place the winnings on deposit, this is the only instance in which a cashier will be allowed to accept a customer deposit without verifying the patron's identification. Identification information shall still be obtained verbally from the patron. A surveillance photograph must be obtained and attached to the casino's copy of the customer deposit voucher. Deposits held under this subsection will not be refunded until the patron provides proper identification and will only be refunded to the individual identified by the surveillance photograph. The table games manager or the equivalent must approve both the deposit and refund by initialing the customer deposit voucher before the transaction is complete. Identification provided for verification shall be recorded on the customer deposit withdrawal voucher and the currency transaction report.

(g) If a patron refuses to provide proper identification, the casino licensee shall stop the patron from making further cash transactions and prevent the patron from further gaming activity until the patron has provided the casino licensee with satisfactory identification.

(Indiana Gaming Commission; [68 IAC 15-2-4](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3328; filed Feb 18, 1998, 9:45 a.m.: 21 IR 2315; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 61. [68 IAC 15-4-2](#) IS AMENDED TO READ AS FOLLOWS:

#### Rule 4. Chip Inventories

##### [68 IAC 15-4-2](#) Purchase and receipt of chips

Authority: [IC 4-33-4](#)

Affected: [IC 4-33](#)

Sec. 2. (a) The riverboat licensee or riverboat license applicant shall be responsible for establishing policies and procedures for the:

- (1) purchase;
- (2) receipt;
- (3) inventory;
- (4) storage; and
- (5) destruction;

of chips. ~~and tokens~~. These policies and procedures must be submitted to and approved by the executive director in accordance with [68 IAC 15-1](#).

(b) Procedures for the purchase and receipt of chips ~~and tokens~~ shall include, but are not limited to, the following:

- (1) Chips ~~and tokens~~ shall only be purchased from a licensed supplier. The riverboat licensee or riverboat license applicant shall be responsible for communicating with licensed suppliers to arrange secured shipment and receipt of chips. ~~or tokens~~. Shipment shall be made via an exclusive courier who shall be required to use sealed doors and implement procedures for documenting the stops along the route.
- (2) The occupational licensee to whom the riverboat licensee has delegated the responsibility of ordering chips ~~and tokens~~ shall be at least the slot manager or cage manager level, or the equivalent.
- (3) The commission shall be notified in writing before the delivery of chips. ~~or tokens~~. This notification shall include the following information:
  - (A) The date and time of the delivery.
  - (B) The location of the delivery.
  - (C) A detailed description of the method and details of the secured shipment that will be used to transport the chips. ~~or tokens~~.
  - (D) The amount of chips ~~or tokens~~, by denomination.
  - (E) The occupational licensee who authorized the order of the chips. ~~or tokens~~.
  - (F) Any other information deemed necessary by the executive director or commission to ensure compliance with [IC 4-33](#) and this title.

(4) At least two (2) occupational licensees from separate departments shall open and count the chips ~~or tokens~~ received. An enforcement agent shall also be present while the chips ~~or tokens~~ are being opened and counted.

(5) A:

- (A) deviation between the:
  - (i) actual count of chips ~~or tokens~~ received; and
  - (ii) invoice or packing slip accompanying the chips; ~~or tokens~~; or
- (B) defect in the chips; ~~or tokens~~;

shall be immediately reported to the executive director.

(6) The actual count of chips ~~or tokens~~ shall be recorded in a log or ledger. This log or ledger must be in a format approved by the commission. The following information shall, at a minimum, be included in the log or ledger:

- (A) The date of receipt of the chips or tokens.
- (B) The amount of chips ~~or tokens~~, by denomination.
- (C) Whether the chips are value chips or nonvalue chips.
- (D) Whether the chips are part of the primary or reserve set of chips.
- (E) The total ~~token and~~ chip inventory.
- (F) Signatures of the occupational licensees counting the chips ~~or tokens~~ received.
- (G) The name of the enforcement agent observing the delivery of the chips. ~~or tokens~~.
- (H) The signature of the occupational licensee recording the entry.
- (I) Any other information deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#) and this title.

(7) If any of the chips are to be held in reserve, then those chips shall be stored in a locked cabinet separate from the other chips.

(Indiana Gaming Commission; [68 IAC 15-4-2](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3330; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1070; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 62. [68 IAC 15-4-3](#) IS AMENDED TO READ AS FOLLOWS:

### [68 IAC 15-4-3](#) Storage of chips

Authority: [IC 4-33-4](#); [IC 4-35-4](#)

Affected: [IC 4-33](#); [IC 4-35](#)

Sec. 3. The riverboat licensee or riverboat applicant shall establish procedures for the transfer or storage of chips. ~~and tokens.~~ The procedures shall include, at a minimum, the following:

- (1) Location and access of sensitive keys in accordance with [68 IAC 11-7](#).
- (2) At least two (2) occupational licensees must be present for the transfer of the reserve or secondary chips. ~~and reserve tokens.~~
- (3) Identification of occupational licensees authorized to transfer reserve and secondary chips.
- (4) A process where at least two (2) occupational licensees, Level 2 or higher, from separate departments shall open and check the chips transferred. This entry in the procedures shall include identification of the occupational licensees, by title, involved in this process.
- (5) Inventories of chips in reserve and secondary set of chips ~~and reserve tokens~~ shall be made on a monthly basis, and the results of the inventories shall be recorded in the chip inventory ledger. Physical inventories may be performed annually if the inventory procedures incorporate the sealing of locked compartments. The procedures for the performance of chip inventories, the procedures for sealing and accessing locked compartments, and the security measures to be taken with respect to these locked compartments shall be submitted to the commission for approval at least sixty (60) days prior to their implementation.
- (6) During nongaming hours chips shall be stored and locked in the casino cages, main bank vault, or locked table trays at the live gaming devices.

(Indiana Gaming Commission; [68 IAC 15-4-3](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3331; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1071; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 63. [68 IAC 15-5-4](#) IS AMENDED TO READ AS FOLLOWS:

### [68 IAC 15-5-4](#) Receipts from electronic gaming devices

Authority: [IC 4-33-4](#); [IC 4-35-4](#)

Affected: [IC 4-33](#); [IC 4-35](#)

Sec. 4. ~~(a)~~ The casino licensee shall compute the total receipts from electronic gaming devices in the following manner:

- (1) ~~Add the following applicable figures for electronic gaming device drop buckets:~~
  - ~~(A) For electronic gaming devices that were not part of the drop bucket collection process under [68 IAC 11-2](#) for that gaming day, add the dollar value of the drop per the central computer system.~~
  - ~~(B) For electronic gaming devices that were part of the drop bucket collection process under [68 IAC 11-2](#) for that gaming day, add the dollar value of the contents of the drop buckets, including foreign tokens, per the hard count.~~
- (2) **(1)** Add the following applicable figures for electronic gaming device bill validator drop boxes:
  - (A) For electronic gaming device bill validator drop boxes that were not part of the currency collection process under [68 IAC 11-3](#) for that gaming day, add the dollar value of the drop per the central computer system.
  - (B) For electronic gaming device bill validator drop boxes that were part of the currency collection process under [68 IAC 11-3](#) for that gaming day, add the dollar value of the contents of the bill validator drop boxes per the soft count.
- ~~(3)~~ **(2)** Deduct the dollar values of the following figures:

(A) The amount previously reported per the central computer system on a previous gaming day that is included in the ~~drop bucket collection process or the bill validator collection process~~ for the current gaming day.

(B) Manually paid jackpots.

(C) Hopper fills. The casino licensee shall not take a deduction for hopper fills that are made before the:

(i) commencement of gaming operations; or

(ii) use of an electronic gaming device.

~~The total of subdivisions (1) and (2) shall be added to the daily token float adjustment to arrive at the total receipts from electronic gaming devices.~~

(b) The casino licensee shall compute the daily token float in the following manner:

(1) Begin with the dollar value of tokens on hand per the token inventory ledger.

(2) Subtract the dollar value of the ending token inventory held by the casino licensee. The ending token inventory shall include the dollar values of the following:

(A) Tokens in the hard count room.

(B) Tokens in the vault.

(C) Tokens in the cage drawers.

(D) Tokens in the change lockers.

(E) Tokens in the hoppers. If this deduction is not based on an actual number of tokens in the hoppers, the figure used must be approved by the executive director or the executive director's designee.

(3) The daily token float must be calculated and recorded separately for each denomination of tokens.

(c) The daily token float adjustment shall be arrived at by subtracting the previous gaming day's token float from the current gaming day's token float.

(d) If any denomination of token float becomes negative, the casino licensee must take the following steps:

(1) Immediately investigate the reason for the negative token float.

(2) Immediately notify the enforcement agent.

(3) Notify the commission, in writing, on the next business day.

*(Indiana Gaming Commission; [68 IAC 15-5-4](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3306; filed May 29, 1998, 5:15 p.m.: 21 IR 3703; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 64. [68 IAC 15-7-3](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 15-7-3](#) Electronic gaming devices**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 3. (a) The casino licensee shall require, on a daily basis, the revenue auditor or its equivalent to perform certain procedures on the calculation of the electronic gaming device win. These procedures shall include, at a minimum, the following:

(1) Tracing the total of the "bills-in" meter readings as recorded by the bill acceptor flash report or equivalent to the actual count performed by the soft count team to verify agreement.

(2) Comparing the total of tokens dropped as reported by the central computer system with the actual wrap count as reported by the slot drop count team. The head of the accounting department, or equivalent, shall document, investigate, and report any variance of greater than two percent (2%).

(3) **(2)** Generating the following reports and reconcile them with all validated/redeemed TITOs:

(A) Ticket issuance report.

(B) Ticket redemption report.

(C) Ticket liability report.

(D) Ticket drop report.

(E) Transaction detail report.

(F) Cashier report.

(4) **(3)** Reviewing all voided electronic gaming device ~~jackpot and fill slips~~ **jackpots** for accuracy and proper handling. Verify proper number of authorized signatures.

~~(5)~~ **(4)** Tracing the electronic gaming device count documentation into the cage checkout sheet and subsequent posting to the general ledger.

~~(6)~~ **(5)** Verifying that all manual electronic gaming device ~~jackpot and fill slips~~ **jackpots** are entered into the central computer system.

(b) The casino licensee shall require that all variances or discrepancies from subsection (a) shall be investigated, recorded, and reported to the head of the accounting department or its equivalent and the commission staff.

(c) Any variances or discrepancies that affect the calculation of the electronic gaming device win shall be adjusted for in the financial statements and reported on Form RG-1 for the appropriate gaming day.

(d) The casino licensee shall require the revenue auditor or its equivalent to perform certain procedures, on a sample basis, on the electronic gaming devices on a daily basis. These procedures shall be performed for both computerized and manual forms and shall include, at a minimum, the following:

(1) Comparing the original electronic gaming device ~~fills and~~ jackpot slips to the duplicate ~~fills and~~ jackpot slips to verify accuracy.

(2) Reviewing the electronic gaming device ~~fills and~~ jackpot slips for the proper number of authorized signatures.

(3) Verifying and accounting for the numerical sequence of the electronic gaming device ~~fills and~~ jackpot slips.

(4) Recalculating the electronic gaming device documentation for accuracy and recording.

(5) Randomly selecting certain days to verify the accuracy of the total of ~~fills and~~ jackpots and re-foot and trace to the jackpot ~~and fill~~ report.

(e) The casino licensee shall require that all variances or discrepancies of greater than two percent (2%) from subsection (a) or (d) shall be investigated, recorded, and reported to the head of the accounting department or equivalent.

(f) Any variances or discrepancies that affect the calculation of the electronic gaming device win shall be adjusted for in the financial statements and reported on Form RG-1 for the appropriate gaming day.

*(Indiana Gaming Commission; [68 IAC 15-7-3](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3332; filed Dec 2, 2001, 12:35 p.m.: 25 IR 1071; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 65. [68 IAC 15-8-4](#) IS AMENDED TO READ AS FOLLOWS:

#### **[68 IAC 15-8-4](#) Observation and testing of electronic gaming devices**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 4. The casino licensee shall establish procedures to observe, unannounced, the compliance with the system of internal controls for the electronic gaming devices that have been submitted in accordance with [68 IAC 11](#) and this article. The procedures shall be performed quarterly and shall include, at a minimum, the following:

(1) Observe and review the following:

(A) Jackpot payout ~~and fill~~ procedures.

(B) The electronic gaming device drop procedures.

~~(C) The hard count and subsequent transfer of funds.~~

~~(2) Perform surprise testing of the weigh scales and token counters.~~

~~(3)~~ **(2)** Observe and review the location and control over the sensitive keys.

~~(4) Test the contents of the hoppers.~~

~~(5)~~ **(3)** Compare the original electronic gaming device ~~fills and~~ jackpot slips to the duplicate ~~fills and~~ jackpot slips to verify accuracy.

~~(6)~~ **(4)** Review the electronic gaming device ~~fills and~~ jackpot slips for the proper number of authorized signatures.

~~(7)~~ **(5)** Verify and account for the numerical sequence of the electronic gaming device ~~fills and~~ jackpot slips.

~~(8)~~ **(6)** Recalculate the electronic gaming device documentation for accuracy and recording.



~~(9)~~ **(7)** Randomly select certain days to verify the accuracy of the total of ~~fills and~~ jackpots and re-foot and trace to the jackpot ~~and fill~~ report.

~~(10)~~ **(8)** Any other procedures deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

*(Indiana Gaming Commission; [68 IAC 15-8-4](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3334; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 66. [68 IAC 15-8-5](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-8-5](#) Observation and testing of casino cashiering and credit**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 5. (a) The casino licensee shall establish procedures for the observation and testing of the compliance with the system of internal controls for casino cashiering and credit.

(b) The internal auditor or equivalent shall observe and review, on a quarterly basis, the following procedures, at a minimum:

- (1) The countdown procedures.
- (2) The casino cage accountability to the general ledger.
- (3) The casino cage accountability to the main bank, vault, ~~token booth~~, and change banks.
- (4) Check cashing procedures and issuance of credit procedures.
- (5) Shift and day procedures.
- (6) Any other procedures deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

(c) The internal auditors or equivalent shall test, on a quarterly basis, the following procedures, at a minimum:

- (1) Reconcile summary sheets to physical instruments on a sample basis.
- (2) Review processing of payments on returned checks.
- (3) If applicable, review procedures and controls over the primary, secondary, and nonvalue chip inventory.
- (4) Ascertain compliance with credit limits and other preestablished credit issuance procedures.
- (5) Any other procedures deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

*(Indiana Gaming Commission; [68 IAC 15-8-5](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3334; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 67. [68 IAC 15-9-1](#) IS AMENDED TO READ AS FOLLOWS:

**Rule 9. Tips and Gratuities; Chips Redeemed by Nongaming Occupational Licensees**

**[68 IAC 15-9-1](#) Applicability; general provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) This rule applies to casino licensees.

(b) The following definitions apply throughout this rule:

- (1) "Gaming occupational licensee" means an occupational licensee that is:
  - (A) actively involved in dealing a game; or
  - (B) assisting with the direct operation of a gambling game.
- (2) "Nongaming employee" means an occupational licensee or other casino employee who is not:
  - (A) actively involved in dealing a game; or



(B) assisting with the direct operation of a gambling game.

(3) "Tip count team" means a team comprised of at least two (2) individuals. The individuals making up the tip count team may be:

- (A) one (1) dealer and one (1) casino cage cashier;
- (B) two (2) casino cage cashiers; or
- (C) other job titles as specified in the casino licensee's internal controls.

(c) Gaming occupational licensees may accept chips ~~and tokens~~ as a tip or gratuity only in accordance with this rule.

(d) The casino licensee or casino license applicant shall establish policies for the acceptance of tips and gratuities for gaming occupational licensees and nongaming employees. These policies shall include, at a minimum, the following requirements:

- (1) No gaming occupational licensee shall accept currency as a tip or gratuity.
- (2) No casino gambling operation key person or occupational licensee who serves in a supervisory position shall solicit or accept tips or gratuities from a patron.
- (3) No casino employee shall solicit any tip or gratuity.
- (4) No portion of a winning tip bet is allowed to remain in action. All tip bets won shall be shown to the surveillance camera and then immediately placed in the tip box by the dealer.
- (5) Any other policies deemed necessary by the executive director of the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

(e) A patron may pay for food and beverages with chips ~~or tokens~~ purchased or won by the patron. Chips ~~and tokens~~ received as payment for food and beverages shall be redeemed in accordance with section 4 of this rule.

*(Indiana Gaming Commission; [68 IAC 15-9-1](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3335; filed Mar 21, 1997, 10:00 a.m.: 20 IR 2098; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Dec 6, 2006, 2:52 p.m.: [20070103-IR-068060191FRA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 68. [68 IAC 15-9-4](#) IS AMENDED TO READ AS FOLLOWS:

#### **[68 IAC 15-9-4](#) Chips redeemed by nongaming employees**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 4. (a) The casino licensee shall establish and submit policies and procedures for the redemption of chips ~~tokens~~, and TITOs received by nongaming employees as tips and gratuities or as payment for food and beverages. The casino licensee shall allow the redemption of chips ~~tokens~~, and TITOs by nongaming employees at any cage location in the casino or any cage location in the pavilion.

(b) A nongaming employee redemption log will be maintained at each cage location to document the redemption of all chips ~~tokens~~, and TITOs by nongaming employees. This log shall include, at a minimum, the following entries:

- (1) The nongaming employee name.
- (2) The occupational licensee number for a nongaming employee who is an occupational licensee.
- (3) The title of the nongaming employee.
- (4) The date and time.
- (5) The dollar amount of chips redeemed.
- ~~(6) The dollar amount of tokens redeemed.~~
- ~~(7) (6)~~ (6) The dollar amount of TITOs redeemed.
- ~~(8) (7)~~ (7) The total dollar amount of chips ~~tokens~~, and TITOs redeemed.
- ~~(9) (8)~~ (8) Any other information deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

*(Indiana Gaming Commission; [68 IAC 15-9-4](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3336; filed Mar 21, 1997, 10:00 a.m.: 20 IR 2098; filed Jul 10, 2000, 4:48 p.m.: 23 IR 3070; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; filed Sep 30, 2004, 11:05 a.m.: 28 IR 530; readopted filed Sep 21, 2010, 3:55 p.m.: [20101020-IR-068100360RFA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Nov 13, 2015, 2:37 p.m.:)*

SECTION 69. [68 IAC 15-10-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-10-2](#) Transactions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 2. (a) The casino licensee shall establish policies and procedures to ensure that all transactions that flow through the casino cage are accounted for. These policies and procedures shall include, but are not limited to, the following:

- (1) All transactions shall be recorded on a main bank or vault accountability form or its equivalent on a per shift basis.
- (2) All increases or decreases to the main bank or vault shall be supported by the appropriate documentation.
- (3) At the end of a shift, the cashiers assigned to the outgoing shift shall:
  - (A) record on a main bank or vault accountability form, or its equivalent, the face value of each cage inventory item counted and the total of the opening and closing cage inventories; and
  - (B) reconcile the total closing inventory with the total opening inventory.
- (4) At the conclusion of gaming activity each day, copies of the main bank or vault accountability forms and all supporting documentation shall be forwarded to the accounting department.
- (5) Signature requirements shall be established for outgoing and incoming cashiers.
- (6) Any other policies and procedures deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

(b) The casino licensee shall establish policies and procedures for the type of transactions to be performed by each casino cashiering area. The following transactions shall be identified by each cage performing the transaction:

- (1) Issuance of markers.
- (2) Receipt of marker payments.
- (3) Cash personal checks and traveler's checks.
- (4) Processing electronic gaming device fills and jackpots.
- (5) Sell chips. ~~and tokens.~~
- (6) Redemption of chips. ~~and tokens.~~
- (7) Acceptance of front money **or** safekeeping deposits, or both.
- (8) Live gaming device fills and credits.
- (9) Even-money exchanges.
- (10) Acceptance of hard and soft count drops.
- (11) Any other transactions deemed necessary by the executive director or the commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

*(Indiana Gaming Commission; [68 IAC 15-10-2](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3336; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 70. [68 IAC 15-10-5](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-10-5](#) Even exchanges**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 5. The casino licensee shall establish policies and procedures for the even exchange of funds between two (2) casino cashiering areas or between a casino cashiering area ~~and token~~ and change banks, which shall include the following:

- (1) A designation of the occupational licensee who may process the even exchange transaction.
- (2) A description of the even exchange form and the required information and signatures. The form shall be at least a two (2) part form.
- (3) A description of the distribution of each part of the form.
- (4) Types of items allowed to be exchanged.

- (5) Requirement that security personnel must accompany the transfer of the funds between locations.
- (6) Any other policy or procedure deemed necessary by the executive director or commission to ensure compliance with [IC 4-33](#), [IC 4-35](#), and this title.

(Indiana Gaming Commission; [68 IAC 15-10-5](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3337; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 71. [68 IAC 15-10-6](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-10-6](#) Change banks**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 6. The casino licensee shall establish policies and procedures for the control of ~~token~~ and change banks by the main bank or vault. These banks shall be on an imprest basis.

(Indiana Gaming Commission; [68 IAC 15-10-6](#); filed Jul 18, 1996, 8:45 a.m.: 19 IR 3338; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 72. [68 IAC 15-12-2](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-12-2](#) Policies and procedures**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 2. (a) In accordance with [68 IAC 15-1-3](#), the riverboat licensee or riverboat license applicant shall submit policies and procedures covering live gaming device fills and credits.

(b) The policies and procedures for live gaming device fills and credits shall include, but are not limited to, the following areas:

- (1) The title of the occupational licensee that may generate a live gaming device fill or credit, or both.
- (2) The multiple-part form or forms that will be utilized to document a live gaming device fill or credit.
- (3) The manner in which manual live gaming device fills and credits will be processed if it differs from the way that computer-generated live gaming device fills and credits will be processed.
- (4) The manner in which the chips ~~or tokens, or both~~, will be transported to or from the live gaming device for purposes of a live gaming device fill or credit.
- (5) The manner in which the copies of the live gaming device fill or credit slip will be reconciled.
- (6) The level of occupational licensee who may verify the chips ~~or tokens, or both~~, that are received at a live gaming device.
- (7) The titles of the occupational licensee who will be responsible for transporting live gaming device credit slips from the casino cage to the appropriate pit area.
- (8) The manner in which the riverboat licensee will handle live gaming device fill or credit slips that do not match the denomination and amount of chips ~~or tokens, or both~~, that are received in the pit area or the casino cage.
- (9) The department that shall be responsible for notifying surveillance that a live gaming device fill is being processed.

(c) The riverboat licensee may utilize an input form within the pit area to initiate a live gaming device fill or credit. The input form shall, at a minimum, include the following information:

- (1) The name of the riverboat licensee.
- (2) The date and time the input form is generated.
- (3) The shift and pit number.
- (4) The live gaming device type and number that needs the fill or credit.
- (5) The denomination and total of all chips ~~or tokens, or both~~, that are requested for the fill or credit.
- (6) The total dollar amount of all chips ~~or tokens, or both~~, that are requested as a fill or credit.
- (7) Whether the transaction is a fill or credit.

(8) The name and occupational license number of the individual generating the input form. If a hard copy of the input form is printed, the signature of the individual generating the input form.

(d) A ~~3-part~~ **three-part** live gaming device fill or credit slip must be generated from the information contained in the input form before a live gaming device fill or credit can be completed. Live gaming device fill or credit slips that are generated by a computer must be prenumbered forms that are sequentially numbered. Live gaming device fill or credit slips that are generated manually must be prenumbered forms that sequentially numbered. The live gaming device fill or credit slip must be on a form prescribed or approved by the commission. The live gaming device fill or credit slip must contain, at a minimum, the following information:

- (1) The name of the riverboat licensee.
- (2) The date and time the live gaming device fill or credit slip is generated.
- (3) The shift and pit number.
- (4) The live gaming device type and number that needs the fill or credit.
- (5) The denomination and total of all chips ~~or tokens, or both~~, that are requested as a fill or credit.
- (6) The total dollar amount of all chips ~~or tokens, or both~~, that are being requested as a fill or credit.
- (7) Whether the transaction is a fill or a credit.
- (8) The name, occupational license number, and signature of the occupational licensees who are involved in completing the fill or credit.

(Indiana Gaming Commission; [68 IAC 15-12-2](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3309; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 73. [68 IAC 15-12-3](#) IS AMENDED TO READ AS FOLLOWS:

### [68 IAC 15-12-3](#) Live gaming device fill procedures

Authority: [IC 4-33-4](#)

Affected: [IC 4-33](#)

Sec. 3. (a) Live gaming device fills shall proceed in the following manner:

- (1) The appropriate occupational licensee shall initiate a live gaming device fill by completing an input form. The input form is either carried to the casino cage or the information is electronically transmitted to the casino cage.
- (2) The appropriate occupational licensee uses the input form to prepare and print a live gaming device fill slip.
- (3) Surveillance shall be notified that a live gaming device fill is being processed.
- (4) Based on the information contained on the fill slip, the casino cashier shall prepare the proper denomination and amount of chips ~~or tokens, or both~~, and sign the fill slip. The casino cashier shall sign the fill slip, summon a security officer, and present the chips ~~or tokens, or both~~, and the fill slip to the security officer.
- (5) The security officer shall verify that the denomination and amount of chips ~~or tokens, or both~~, match the amount on the fill slip. The security officer shall sign the fill slip after verifying the chips ~~or tokens, or both~~, match the fill slips. The security officer who begins the live gaming device fill must complete the process of witnessing, escorting, and signing the appropriate documentation to verify that the live gaming device fill was completed. If there is a discrepancy with the live gaming device fill, the same security officer who began the live gaming device fill must accompany the fill back to the cage to resolve the discrepancy.
- (6) The casino cashier shall retain one (1) copy of the fill slip in the casino cage.
- (7) The security officer shall transport the chips ~~or tokens, or both~~, to the appropriate pit area.
- (8) The appropriate level of occupational licensee shall count the chips ~~or tokens, or both~~, that are received as a live gaming device fill to ensure the denomination and amounts received match the amount and denomination reflected on the fill slip.
- (9) If the amounts in subdivision (4) agree, the occupational licensee who counted **the** fill shall sign the fill slip. The pit supervisor or the equivalent shall also sign the fill slip. A copy of the fill slip or the original shall be inserted into the drop box of the live gaming device that received the fill. A copy of the fill slip or the original fill slip shall be returned to the casino cage.
- (10) If the amounts in subdivision (4) do not agree, the fill slip shall not be signed and the discrepancy shall be resolved in accordance with the policy and procedure submitted in accordance with section 2(b)(8) of this rule. Surveillance shall be notified and the security officer shall return the chips ~~or tokens, or both~~, and the fill slip to the casino cage.

(b) The casino cashier or appropriate department shall use copies of the completed live gaming device fill slip to balance the cage. All completed live gaming device fill slips shall be used to complete the soft count.

(c) If a live gaming device fill slip was erroneous, it shall be voided and a new live gaming device fill slip generated. The person voiding the fill slip shall indicate the reason the slip was voided and sign the slip. A voided live gaming device fill shall be retained and deposited into a locked accounting box.

(Indiana Gaming Commission; [68 IAC 15-12-3](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3310; filed Jul 10, 2000, 4:46 p.m.: 23 IR 3064; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed May 14, 2014, 10:57 a.m.: [20140611-IR-068120659FRA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 74. [68 IAC 15-12-4](#) IS AMENDED TO READ AS FOLLOWS:

#### **[68 IAC 15-12-4](#) Live gaming device credit procedures**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33](#)

Sec. 4. Live gaming device credits shall proceed in the following manner:

(1) The appropriate occupational licensee shall initiate a live gaming device credit by completing an input form. The input form is either carried to the casino cage or the information is electronically transmitted to the casino cage.

(2) The input form is utilized to prepare and print a live gaming device credit slip.

(3) Surveillance shall be notified that a live gaming device credit is being processed.

(4) The live gaming device credit slip shall be transported or transmitted to the appropriate pit area.

(5) A security officer shall be called to the pit area to observe that the appropriate denomination and amount of chips ~~or tokens, or both~~, to complete the live gaming device credit are counted and removed from the live gaming device. A pit supervisor or the equivalent shall also observe the removal of the appropriate chips. ~~or tokens, or both~~. After the appropriate chips ~~or tokens, or both~~, are removed from the live gaming device, the credit slip shall be signed by the following individuals:

(A) The occupational licensee who removed the chips. ~~or tokens, or both~~.

(B) The pit supervisor or the equivalent who observed the removal of the chips. ~~or tokens, or both~~.

(C) The security officer who observed the removal of the chips ~~or tokens, or both~~, and who will transport the chips ~~or tokens, or both~~, to the casino cage.

The security officer who begins the live gaming device credit must complete the process of witnessing, escorting, and signing the appropriate documentation to verify the live gaming device credit was completed. If there is a discrepancy with the live gaming device credit, the same security officer who began the live gaming device credit must accompany the live gaming device credit back to the live gaming device or the cage to resolve the discrepancy.

(6) A copy of the live gaming device credit slip shall be retained at the table from which the chips ~~or tokens, or both~~, were removed.

(7) The security officer shall transport the chips ~~or tokens, or both~~, to the casino cage.

(8) In the presence of the security officer, the casino cashier shall verify that the denominations and amounts of chips ~~or tokens, or both~~, match the information contained on the credit slip.

(9) If the amounts in subdivision (8) agree, the casino cashier shall sign the credit slip. A copy of the credit slip or the original shall be retained by the casino cashier. A copy of the credit slip or the original credit slip is returned to the live gaming device from which the chips ~~or tokens, or both~~, were removed.

(10) The original credit slip and the duplicate credit slip that was retained at the live gaming device are matched and deposited into the live gaming device drop box.

(11) If the amounts in subdivision (8) do not agree, the credit slip shall not be signed by the casino cashier and the discrepancy shall be resolved in accordance with the policy and procedure submitted in accordance with section 2(b)(8) of this rule. Surveillance shall be notified and the security officer shall return the chips ~~or tokens, or both~~, to the appropriate live gaming device.

(Indiana Gaming Commission; [68 IAC 15-12-4](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3310; filed Jul 10, 2000, 4:46 p.m.: 23 IR 3065; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))



SECTION 75. [68 IAC 15-13-1](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 15-13-1](#) General provisions**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 1. (a) This rule applies to all casino licensees.

(b) The following definitions apply throughout this rule:

(1) "Manually paid jackpot" means a jackpot that is paid by a slot attendant who obtains the funds and completes the necessary paperwork provided by the cage.

(2) "Pouch pay jackpot" means a manually paid jackpot of less than one thousand two hundred dollars (\$1,200) that the slot attendant immediately and directly pays from funds in the slot attendant's money pouch.

(3) "Short pay" means a manually paid jackpot that is manually paid because either:

(A) the electronic gaming device hopper does not have a sufficient number of tokens to complete the payment of the jackpot; or

(B) a malfunction is preventing the electronic gaming device from being able to pay the jackpot.

(c) Manually paid jackpots shall be conducted in compliance with this rule.

(d) Manually paid jackpot slips may be handwritten or generated by computer.

*(Indiana Gaming Commission; [68 IAC 15-13-1](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3311; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Apr 13, 2011, 11:20 a.m.: [20110511-IR-068100498FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))*

SECTION 76. [68 IAC 16-1-9](#) IS AMENDED TO READ AS FOLLOWS:

**[68 IAC 16-1-9](#) Front money deposits**

**Authority:** [IC 4-33-4](#); [IC 4-35-4](#)

**Affected:** [IC 4-33](#); [IC 4-35](#)

Sec. 9. (a) The casino licensee:

(1) shall establish procedures in connection with front money and safekeeping deposits; and

(2) must ensure that the applicable currency transaction reporting requirements will be enforced in accordance with applicable state and federal law and [68 IAC 15-2](#).

(b) The following may be accepted from patrons for the purpose of customer deposits:

(1) Cash or cash equivalent.

(2) Value chips issued by the casino licensee.

~~(3) Tokens issued by the casino licensee.~~

(c) The casino licensee shall do the following:

(1) Require a credit file to be completed in accordance with section 5(a) of this rule prior to accepting a deposit or front money.

(2) Document deposits or withdrawals on a voucher that is at least a two-part, prenumbered form. The casino cage cashier shall complete the voucher. The voucher shall include, at minimum, the following information:

(A) Patron's name and signature.

(B) Date of receipt or disbursement.

(C) Amount of deposit.

(D) Type of deposit.

(E) Casino cage cashier's signature.

(3) Be liable, as an insurer, for the collection activities on the debt of a patron, whether the activities occur in the name of the casino licensee or a third party.

(4) Provide to the executive director a monthly report detailing, at a minimum, the following:

(A) Outstanding credit.



- (B) Checks returned and held.
- (C) Collection activities taken.
- (D) Settlement of disputed items.

(d) The following must be deposited not later than the business day after the day the checks are received:

- (1) Personal checks.
- (2) Cashier's checks.
- (3) Money orders.
- (4) Credit card advance checks.
- (5) Traveler's checks.
- (6) Wire transfer service checks.

(Indiana Gaming Commission; [68 IAC 16-1-9](#); filed Jul 18, 1996, 8:55 a.m.: 19 IR 3314; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); filed Dec 6, 2012, 2:32 p.m.: [20130102-IR-068110786FRA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 77. [68 IAC 19-1-3](#) IS AMENDED TO READ AS FOLLOWS:

### **[68 IAC 19-1-3](#) Utilization of credits**

**Authority:** [IC 4-33-4-1](#); [IC 4-33-4-2](#); [IC 4-33-4-3](#)

**Affected:** [IC 4-33-4-11](#); [IC 4-33-7-3](#)

Sec. 3. A supplier licensee may not place credits into a device by placing any of the following into the device:

- ~~(1)~~ Tokens.
- ~~(2)~~ **(1)** Chips.
- ~~(3)~~ **(2)** Cash.
- ~~(4)~~ **(3)** Cash equivalent.

(Indiana Gaming Commission; [68 IAC 19-1-3](#); filed Jul 10, 2000, 4:46 p.m.: 23 IR 3067; readopted filed Nov 25, 2002, 10:11 a.m.: 26 IR 1261; readopted filed Nov 14, 2008, 12:51 p.m.: [20081210-IR-068080730RFA](#); readopted filed Nov 24, 2014, 10:49 a.m.: [20141224-IR-068140402RFA](#); filed Nov 13, 2015, 2:37 p.m.: [20151209-IR-068150113FRA](#))

SECTION 78. THE FOLLOWING ARE REPEALED: [68 IAC 1-1-26](#); [68 IAC 1-1-27](#); [68 IAC 1-1-95](#); [68 IAC 2-6-27](#); [68 IAC 11-2-2](#); [68 IAC 11-2-3](#); [68 IAC 11-2-4](#); [68 IAC 11-6-1](#); [68 IAC 14-5-1](#); [68 IAC 14-5-2](#); [68 IAC 14-5-3](#); [68 IAC 14-5-5](#); [68 IAC 14-5-6](#); [68 IAC 15-10-7](#).

LSA Document #15-113(F)

Notice of Intent: [20150506-IR-068150113NIA](#)

Proposed Rule: [20150805-IR-068150113PRA](#)

Hearing Held: August 27, 2015

Approved by Attorney General: October 29, 2015

Approved by Governor: November 12, 2015

Filed with Publisher: November 13, 2015, 2:37 p.m.

Documents Incorporated by Reference: None Received by Publisher

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Posted: 12/09/2015 by Legislative Services Agency

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