

Downstream Authority of the Quapaw Tribe of Oklahoma Regular Meeting  
March 31, 2010

**Meeting Called to Order:** 11:00 am

<b>ROLL CALL:</b>	John Berrey, Chairman	Present
	J R Mathews, Vice-Chairman	Present
	Larry Ramsey, Secretary	Present
	Ranny McWatters, Treasurer	Present
	Marilyn Rogers, Member	Present

**DECLARATION OF QUORUM:** announced by Larry Ramsey

Invocation: Larry Ramsey

Roll Call: Tena VanCleave, all DDA members present

Jack Brill/ Steve Drewes/ Tim Brown

General Manager Update

- ARD Contract
  - Discussion; will continue with for the season, will have the opportunity to bid next year
- Ticketmaster vs. Protix Agreement
  - Ticketmaster refuses to allow changes to contract
  - Limited waiver of sovereign immunity
  - TGA language

Consensus of the DDA to use protix for this season.

- Policies
  - 1100.05.01 – Ante Paid in Craps game
    - Change was made to reflect the policy of Q-Club members ante being paid by casino out of player's pool.
    - See Attached

Motion by DDA Vice Chairman JR Mathews to approve policy as presented. Seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent)  
Motion Carries.

- 1400.60.01 0 Decommission of Poker Tournament Chips
  - See attached

Motion by DDA Member Marilyn Rogers to approve policy as presented. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent)  
Motion Carries.

- 1100.01.02 – Splitting of Aces on a shoed Blackjack game
  - See attached

Motion by DDA Vice Chairman JR Mathews to approve policy as presented. Seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1100.25.01 – Establish procedures to issue and redeem markers.
  - See attached

Motion by DDA Treasurer Ranny McWatters to approve policy as presented. Seconded by DDA Vice Chairman JR Mathews. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1100.24.01 – Distribution of Gaming Chips to Gaming Pits – Ante Chips
  - See attached

Motion by DDA Member Marilyn Rogers to approve policy as presented. Seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1100.12.01 - Table Games Card procedures
  - See attached

Motion by DD Treasurer Ranny McWatters to approve policy as presented. Seconded by DDA Vice Chairman JR Mathews. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 7400.01.01 - Controlled Access Policy
  - See attached

Motion by DDA Secretary Larry Ramsey to approve policy as presented. Seconded by DDA Member Marilyn Rogers. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 6320.03.01 - Bank Account Reconciliations
  - See attached

Motion by DDA Vice Chairman JR Mathews to approve policy as presented. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 6320.01.01 - Chart of Accounts
  - See attached

Motion by DDA Member Marilyn Rogers to approve policy as presented. Seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1500.04.01 – Soft Count Policy
  - See attached

Motion by DDA Vice Chairman JR Mathews to approve policy as presented. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: yes (5 yes, 0 no, 0 abstaining, 0 absent)  
Motion Carries.

- IBC Bank
  - Wants the Tribe to be the primary signatory on the note with Quapaw Casino being the second.
  - Discussion
    - Drewes to pursue the IBC agreement with a Joplin bank handling the vault services
    - Will unencumber the ASARCO funds
    - MUST have a term sheet, exhaust all recourse through golf course first
    - S. Ward will draft the terms

Consensus of the DDA to move forward with the IBC agreement.

12:00 pm – BREAK – LUNCH

- Marilyn had appointment after lunch will return when able. (Absent, for afternoon)

1pm

Meeting with Anita Fields

- Discussion on presented Idea
  - “pottery shards” swirl to be mounted on the wall between Red Oak and Wa-Nee` - Bea-De
  - Approx price is \$20,890

Consensus of the DDA to move forward on the project

Billboard Update

- See Attached
- General Discussion of presented items
- Daly – “Above Par Amenities”
  - “4 miles west of Joplin on I-44, exit 1.” 3 votes to leave it on 1 vote to take off. Will be left on.
- Daly – Just a Short Drive”
  - Line up “Just and Short”
  - Change wedge in hand to a driver
- Switzer
  - “Play Like a Winner”
  - “Winners Paradise”
- Winner’s Campaign
  - Extension on top of billboard to include swish
- Service Campaign

- Employee Photos

DDA consensus on the Billboards presented with noted changes.

#### General Manager Updates (cont)

- CJW invoice
  - Survey on Vogel land
  - Have them rebill it to the tribe
- Property/ Casualty Agent of Record
  - Will not be exclusive, will be for quotes only
  - RWI/ Gallagher/ etc
- Health Insurance
  - \$235K in bad debt to Freeman from team members
  - Three options to settle
    - All Freeman's responsibility
    - Downstream pay half
    - Downstream pay half and collect what can be collected from team members

Consensus of the DDA to go with the third option and pay ½ and try to collect from team members

- Total Rewards Program
  - Source Link, a third party, to merge the data lists and see if it would be beneficial to participate.
  - Would require a limited waiver of Sovereign Immunity from the Tribe for Link Carolina.

Motion by DDA Vice Chairman JR Mathews to approve the contract with Link Carolina, providing the BC approves the Limited Waiver of Sovereign Immunity. Seconded by DDA Treasurer Ranny McWatters.

Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: absent (4 yes, 0 no, 0 abstaining, 1 absent) Motion Carries.

- Trademark on Q-Club Card Logo
  - Change was made to add Quapaw Casino Logo
  - Has been submitted for approval
- Logoed Bottled Water
  - Will be used in the floor
  - Can be used for donation
  - Nlagra, 12 oz
  - Drewes will discuss with Coke
- Organizational Chart Changes
  - Proposed
    - PBX Manager – eliminate position, Supervisors would report to the Front Desk Manager
    - Create a lead position
    - Job descriptions would be changed to reflect

Motion by DDA Vice Chairman JR Mathews to approve changes to the Hotel Ops Org Chart as presented.

Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; JM: Yes; LR: Yes; RM: yes; MR: absent (4 yes, 0 no, 0 abstaining, 1 absent) Motion Carries.

- Purchasing Director – eliminate director position, change to manager with manger reporting directly to CFO.
- Wardrobe would continue to report to Purchasing manager
- Warehouse Manager would report directly to CFO.

Motion by DDA Secretary Larry Ramsey to change Finance/ purchasing org chart as presented.

Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; JM: abstain; LR: Yes; RM: yes; MR: absent (3 yes, 0 no, 1 abstaining, 1 absent) Motion Carries.

- Facilities
- Tribal member, Jesse
- Discussion on making a Supervisor vs a Tech 1, Jesse is okay with being a tech 1.
- M. Gaines
  - Was offered a position of pool bartender – does not want. Wants to only comeback as a supervisor or above.
  - MUST work 90 days in a position with no call ins or no-shows before can apply for a supervisor position.
- Donation Review
  - St. Mary's Catholic Church – Auction item, Dinner and room **YES**
  - Horses of Hope – any monetary Donation **NO**
  - Emporia State University – Raffle item, dinner and room **YES**
  - Frontenac Rotary – prize item, night stay and golf for 2 **YES**
  - Horses for a Better World – monetary Donation \$500.00 **SENT TO MARKETING FOR REVIEW**
  - Highland Springs Country Club – prize item, room, golf and, dinner for 2 **YES**
  - McCloud/HE Williams Team (relay for Life) – Auction item, room and dinner **NO**
  - H.U.B.S House – monetary donation **NO**
  - North Arkansas College – Raffle Item, room and dinner **YES**
  - Benton County Sunshine School – Auction Item, room and dinner **YES**
  - Washington County Telecommunication Association – Raffle Item, room and dinner **NO**
  - Vietnam Vets/Legacy Vet Motorcycle Club – Raffle prize, dinner and room **YES**
  - Autism Support Group of NWA – Prize item, room and dinner **YES**
  - Holiday Island Fire Department – Prize item, golf for 4 **YES**
  - Pittsburgh Area Young Professionals – Auction Item, room and dinner **YES**
  - NEO Physical Therapy Asst Students – Golf tournament, 4/9/10 \$60 hole, \$240 team **SENT TO MARKETING FOR REVIEW**
  - Foundation for Class – raffle item, room and dinner **YES**
  - Tri-State Air Football Camp (JPS) – monetary donation \$1000.00 **NO**
  - Shannon McDonough Fundraiser – Raffle item, room and dinner **YES**
  - Joplin Junior Service League – Dinner for 8 prepared by Chef Warrior, Max \$100 **YES**
  - Boys and Girls Club of Joplin – Auction Item, room, dinner for 2 at Buffalo Grille, round of golf for 2 **YES**
  - Children's Advocacy Center – Golf Tournament, \$165 team (3), \$50.00 hole 4/24/10 **2 TEAMS \$330.00**

Adjourn 4:00 pm

<b>Bank Account Reconciliations</b>	<b>Policy No:</b> 6320.03.01	<b>Issue Date:</b> 3/25/2010
<b>PURPOSE:</b> Establish procedures for reconciling the bank accounts.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	DRAFT
QTGA Submission	6/3/2009
QTGA Return	12/2/2009
Compliance Review	2/23/2010
QTGA Submission	2/25/2010
GM Approval	2/25/2010
QTGA Final Approval	3/25/2010
DDA Final Approval	3/31/2010

### **POLICY**

1. To ensure the accuracy of Downstream Casino Resort's (DCR) bank account records by proving the monthly balance shown in the bank's account register.
2. Purpose of this policy is to outline the practices for preparation of a monthly bank reconciliation. This applies to all bank accounts maintained by DCR.
3. Staff Accountant is responsible for reconciling all checking accounts.

### **BACKGROUND**

1. Errors or omissions can be made to DCR's bank account records due to the many cash transactions that occur. Therefore, it is necessary to prove the monthly balance shown in the bank account register.
2. Cash on deposit with a bank is not available for count and is therefore proved through the preparation of a reconciliation of DCR's record of cash in the bank and the bank's record of DCR's cash that is on deposit, evidenced by the bank's deposit account statement.

### **DEFINITIONS**

1. Batch – All of the day's credit card transactions are collected into a "batch" of transactions. The batch is closed, usually at the end of the day, and the result is submitted to the merchant processor as a single "batch".
2. Settlement – The processor clears the credit card transactions in the batch and the result is "settled" to the designated bank account. Settlement varies depending on the credit card company but usually occurs in 2-3 days after a batch is closed.

3. Processor – The processor is responsible for authorizing credit card transactions and settling each batch. The processor is also the company that one must interface with on all discrepancies or “chargebacks”.
4. Chargebacks – A chargeback occurs when a customer (cardholder) disputes a charge that appears on their monthly credit card statement. If the dispute is unable to be resolved then the transaction is charged back to the merchant. The processor charges the merchant and returns the cardholder’s money.

## **PROCEDURE**

### **BANK STATEMENT PREPARATION**

1. Each day, the Staff Accountant shall download the electronic clearing file from the bank for each of DCR’s bank accounts.
2. The Staff Accountant manually inputs the cleared checks into a spreadsheet. The spreadsheet identifies the checks that have cleared the bank account and summarizes the total amount of outstanding checks that have not cleared. The Staff Accountant inputs the data into the spreadsheet on a daily basis. Each bank account has its own spreadsheet summarizing the bank activity.
3. After receipt of the monthly bank statement, including cleared check image records, deposit slips and any other transactions, the Staff Accountant should prepare the monthly bank reconciliation and have it carefully reviewed by the Accounting Manager. To preserve proper segregation of duties, no single team member should perform both cash transaction functions and bank account reconciliations.
4. Prior to preparing the bank reconciliation, the Staff Accountant should review the bank statement for any interest credits, bank charges and other fees. These should have been included in the daily downloads and identified in the spreadsheet. At the end of the month, the Staff Accountant shall post a journal entry to the general ledger reflecting the fees.
5. When preparing the monthly bank reconciliation, the Staff Accountant will compare the bank balance identified on the monthly bank statement to the bank balance shown on the spreadsheet. The difference between the two balances should be the total outstanding checks that have not cleared the bank account and/or outstanding deposits that are in transit.

## ADJUSTMENTS AND OTHER TROUBLESHOOTING

1. In spite of the best of efforts, the bank balance on the spreadsheet may not agree with the bank statement balance. The obvious first step is to make sure that all checks and deposits on the bank statement agree with the entries in the cash account.
2. Checks are generally posted and printed simultaneously so that what shows up in the accounting system will always agree to what was processed through the bank. Deposits are another matter.
3. A more difficult reconciling task is in obtaining agreement of all credit card receipts. The difficulty results from three unique situations:
  - a. First, there is a time lag of several days between the time the credit card transaction occurred at DCR and the time it is settled or deposited to DCR's bank account.
  - b. Second, depending on the type of credit card and/or the merchant provider, the fee charged on each transaction may be automatically deducted from the deposit before it shows up on the bank statement.
  - c. And third, "chargebacks" are usually deducted immediately by the processor and only reversed if the dispute is resolved in DCR's favor. This may even occur before the chargeback notice has arrived in the mail.

Consequently, the deposit on the bank statement may not agree with the daily credit card batch (receipts). In the face of these difficulties, the Accounting Manager should thoroughly understand the particular credit card daily closing procedures. An end of day report for each credit card closing should be printed and saved as a reference for the month end reconciliation process.

4. Alternatively, the credit card processor will provide a month-end statement listing each credit card "batch" submitted each day. This report can be used to reconcile the credit card batches to the settlement deposits.
5. After reconciling checks and deposits, the next area to reconcile is bank-generated credit and debit memos. These can result from various events including:
  - a. Returned checks
  - b. Returned check charges
  - c. Monthly bank activity charges



- d. Credit card merchant fees
- e. Charges from the use of debit cards
- f. Interest income and other service charges.

The Accounting Manager may not know many of these until the bank statement is received. Each one of these entries must be entered and distributed to the proper income or expense account. Whatever the accounting system, its reconciling program usually provides a routine for entering these “end of month” bank credits and charges.

6. After agreeing all checks and deposits and entering all other bank credits and charges, the balance per accounting system and reconciled bank balance should agree. Any remaining difference must be investigated. One reason for the difference is an internal posting error in the general ledger. If there is no other explanation, an adjustment should be made. This would be entered as a bank charge or credit and posted to a cash short/over account.

7. Any outstanding checks or deposits in transit over six months old should be reviewed for disposition including write-off by a journal entry.

JOHN  
DALY



# JUST A SHORT DRIVE

4 MILES WEST OF JOPLIN ON I-44 EXIT 1



EAGLE CREEK  
—GOLF CLUB—

*at*  
DOWNSTREAM<sup>®</sup>



JOHN  
DALY

# ABOVE PAR AMENITIES



EAGLE CREEK  
—GOLF CLUB—

*at*

DOWNSTREAM<sup>®</sup>

4 MILES WEST OF JOPLIN ON I-44 EXIT 1



JOHN  
DALY

# JUST A SHORT DRIVE



EAGLE CREEK  
—GOLF CLUB—

*at*

DOWNSTREAM<sup>®</sup>

4 MILES WEST OF JOPLIN ON I-44 EXIT 1



JOHN  
DALY



# ABOVE PAR AMENITIES

4 MILES WEST OF JOPLIN ON I-44 EXIT 1



EAGLE CREEK  
—GOLF CLUB—

*at*  
DOWNSTREAM<sup>®</sup>



JOHN  
DALY

# ABOVE PAR AMENITIES



EAGLE CREEK  
—GOLF CLUB—

4 MILES WEST OF JOPLIN ON I-44 EXIT 1

*at*  
DOWNSTREAM<sup>®</sup>





# MO' MONEY!

**DOWNSTREAM<sup>®</sup>**  
CASINO RESORT



**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**





**MORE  
WINNERS  
EVERY  
DAY!**

**DOWNSTREAM<sup>®</sup>**  
**CASINO RESORT**



**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**





**MORE  
WINNERS  
EVERY  
DAY!**

**DOWNSTREAM<sup>®</sup>**  
**CASINO RESORT**



**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**



# WIN BIG!

**DOWNSTREAM<sup>®</sup>**  
CASINO RESORT

**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**







**SERVICE  
WITH A  
SMILE**

**DOWNSTREAM<sup>®</sup>**  
**CASINO RESORT**



**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**





**SERVICE  
WITH A  
SMILE**

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**CASINO RESORT**



**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**





**SERVICE  
BEYOND  
EXPECTATIONS!**

**DOWNSTREAM<sup>®</sup>**  
CASINO RESORT



**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**





BARRY SWITZER

# PLAY LIKE A WINNER

## DOWNSTREAM<sup>®</sup> CASINO RESORT



4 MILES WEST OF JOPLIN ON I-44 EXIT 1





BARRY SWITZER

# PLAY LIKE A WINNER

## DOWNSTREAM<sup>®</sup> CASINO RESORT



4 MILES WEST OF JOPLIN ON I-44 EXIT 1



# WINNERS' PARADISE

## DOWNSTREAM<sup>®</sup> CASINO RESORT



4 MILES WEST OF JOPLIN ON I-44 EXIT 1

BARRY  
SWITZER





BARRY  
SWITZER

# PLAY LIKE A WINNER

## DOWNSTREAM<sup>®</sup> CASINO RESORT

4 MILES WEST OF JOPLIN ON I-44 EXIT 1



# WINNER!

**DOWNSTREAM<sup>®</sup>**  
**CASINO RESORT**

**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**





# FEEL LIKE A WINNER!



**DOWNSTREAM<sup>®</sup>**  
CASINO RESORT

**4 MILES WEST OF JOPLIN ON I-44 EXIT 1**

<b>Controlled Access Policy</b>	<b>Policy No:</b> 7400.01.01	<b>Issue Date:</b> 6/1/2008 <b>Revised Date:</b> 03/17/2010
<b>PURPOSE:</b> To establish Team Member and vendor access to secured areas.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	6/1/2008
Compliance Review	3/17/2010
QTGA Submission	3/23/2010
QTGA Final Approval	3/23/2010
GM Approval	3/21/2010
DDA Final Approval	3/31/2010

### **POLICY**

1. It is the policy of the Downstream Casino Resort (“DCR”) to restrict access to secure areas. Secured areas include the following:
  - a. Cage
  - b. Poker Cage
  - c. High Limit Cage
  - d. Main Bank
  - e. Gaming Pits
  - f. Count Room
  - g. Server Room
  - h. IDF
  - i. Surveillance Control Room (Surveillance Viewing Room not included)
2. DCR has developed an access list (pg. 3), which is attached and titled “Master Access List 3-17-2010”. This list represents the Team Members that have access to the secured areas that require Controlled Access.

## **PROCEDURE**

### **Master Access List**

1. The Master Access List shall be proposed by DCR compliance, and approved by the Director of Finance and General Manager of DCR. Any requested alterations to the Master Access List shall be provided to the Quapaw Tribal Gaming Agency (QTGA) in writing and must be approved prior to implementation.
2. At a minimum, the Master Access List shall be reviewed and approved by the Director of Finance and General Manager of DCR and submitted as approved to the QTGA at least annually.

### **Control of Proxy Cards**

1. The QTGA will program the Team Member badges which contain proxy cards, according to the Master Access List.

### **Access**

Team member and Vendor access will be controlled in three Categories:

1. Instant Access- Team Members granted immediate unescorted access to the area due to daily work being performed as approved in the Master Access List.
2. Escorted Access- Team Members and Vendors when escorted by security, with surveillance notification are granted access as approved in the Master Access List.
3. Approved Access- Team Members and Vendors who are only granted access as approved by a requesting department, DCR Compliance Department, and QTGA (Compliance Supervisor, Compliance Manager, Asst. Director or Executive Director) as noted on a Secured Access Request form (pg. 4). Approval may be written or verbal.

## Master Access List

03.31.2010

Area	Cage	Poker Cage	High Limit Cage	Male Bank	Gaming Pit	Count Room (In progress)	Count Room (Not In Progress)	Server Room	DR	Surveillance
Team members										
DDA	I	I	I	I	I	I	I	I	I	I
General Manager	I	I	I	I	I	I	I	I	I	I
CFO	I	I	I	I	I	I	I	I	I	I
Director Of Finance	I	I	I	I	I	I	I	I	I	I
Cage Team Members	I	I	I	I						
Count Team Members						I	I			
Table Game Team Members					I					
IT Team Members	E	E	E	E	E	E	E	I	I	O
Income Auditors	O	O	O	O	O	O	O			
Compliance (DCR)	O	O	O	O	O	O	O			O
Surveillance Agents										I
Surveillance Tech.	E	E	E	E	E	E	E		E	I
Surveillance Supr/Mgr/Dir	E	E	E	E	E	E	E		E	I
Other Team Members	A	A	A	A	A	A	A	A	A	O
Vendors with Valid Individual Key Licenses	E	E	E	E	E	E	E	A	A	O
Vendors with out Licenses	A	A	A	A	A	A	A	A	A	O

## Access Code Key

I - Instant

E - Escorted

A - Access Request Required

O - Drop Off Access, Security Drop Off

*[Signature]* 3/31/10 Director Of Finance  
*[Signature]* 3/31/10 General Manager



## Quapaw Tribal Gaming Agency

<input type="checkbox"/>	DCR
<input type="checkbox"/>	Quapaw

### Secured Access Request

Date: \_\_\_\_\_ Time: \_\_\_\_\_

Work to be performed:

Name and Badge # for access:

<u>Access Area</u>	<u>Yes</u>	<u>No</u>
Cage		
Poker Cage		
High Limit Cage		
Main Bank		
Pit Access #____		
Count Room (In progress)		
Count Room (Not in progress)		
Server Room		
IDF #____		
Surveillance		

Compliance Authorization

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Requesting Department Authorization

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

QTGA Authorization

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

<b>Decommissioning of Non-Value Tournament Chips</b>	<b>Policy No:</b> 1400.60.01	<b>Issue Date:</b> 03/11/2010
<b>PURPOSE:</b> To document procedures for decommissioning non-value tournament chips no longer used by Downstream Casino Resort.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	Draft
Compliance Review	01/19/2010
QTGA Submission	01/28/2010
QTGA Return	02/09/2010
Compliance Revisions based on QTGA Review	02/10/2010
QTGA Submission	02/18/2010
QTGA Final Approval	03/11/2010
GM Approval	02/12/2010
DDA Final Approval	03/31/2010

### **POLICY**

Non-value tournament chips that are no longer being used by Downstream Casino Resort (DCR) should be officially decommissioned to ensure the out of play for those chips is permanent.

As non-value tournament chips are never meant to be in the possession of the Patrons, decommissioning should be a quick and simple process. A notice of decommissioning would not have to be displayed to the Patrons, as these chips are non-valued and not available for redemption.

### **PROCEDURE**

After it is determined that non-value tournament chips will no longer be used by DCR, it is policy for those unused chips to be decommissioned. DCR shall use the following procedures to decommission tournament chips:

1. DCR shall submit an Activity Request Form (pg. 3) to the Quapaw Tribal Gaming Agency (QTGA) requesting to remove from play any chips that are to be decommissioned. This notice of intent shall include:
  - a. Description of the chips to be removed
  - b. Reason for the removal of the chips



- c. An inventory of chips to be removed
  - d. An estimated inventory of non-value tournament chips
- 2. The Main Bank shall inventory the chips by total amount.
- 3. The inventory shall be verified by the Main Banker and Cage Shift Manager on duty. This inventory shall be forwarded to Income Audit, Poker, DCR Compliance Department, and QTGA.
- 4. The non-value tournament chips shall then be removed from the Main Bank and stored in the secured Warehouse.
- 5. Once removed from the Main Bank, the non-value tournament chips may be used for a variety of purposes. Examples follow:
  - a. Divide the non-value chips into smaller sets to be distributed as gifts or souvenirs sold in the gift shop.
  - b. Raffle smaller sets of chips for giveaways to Team Members.
  - c. Use as special prizes during any Team Member tournament.
  - d. Given away or sold as DCR Management sees fit.
- 6. As these non-value tournament chips are no longer commissioned, they will be made available for use and no longer considered a gaming or negotiable instrument.



# Quapaw Tribal Gaming Agency

Date Rcvd	
Action	
Reviewed By	
Approved	Tentative
Not Approved	Final

## ACTIVITY REVIEW FORM

<b>Type/Name of Activity:</b>  <i>One-time Event   On-going Event</i>	<b>Department:</b>	<b>Submission Date:</b>
		<b>Date/Time/ Place</b>
<b>Narrative Description:</b>		<b>Policy and Activity Approval:</b>
<b>Departments Impacted:</b>		

Department Director Authorization

\_\_\_\_\_

Date: \_\_\_\_\_

Compliance Manager/Officer

\_\_\_\_\_

Date: \_\_\_\_\_

QTGA Authorization

\_\_\_\_\_

Date: \_\_\_\_\_

<b>Distribution of Gaming Chips to Gaming Pits – Ante Chips</b>	<b>Policy No:</b> 1100.24.01	<b>Issue Date:</b> 2/18/2009 <b>Revised Date:</b> 02/23/2010
<b>PURPOSE:</b> To establish procedures for distribution of ANTE chips to Gaming Pits		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	2/18/2009
QTGA Submission	2/18/2009
QTGA Return	3/2/2009
Compliance Revisions	2/23/2010
QTGA Submission	2/25/2010
GM Approval	2/26/2010
QTGA Final Approval	3/11/2010
DDA Approval	3/31/2010

## **POLICY**

### **Distributing Ante Chips to Gaming Pits**

1. A Request for Transfer (pg. 6) shall be prepared by a Table Games Pit Manager, or above, to authorize the preparation of a Transfer of Ante Chips to Gaming Pits.
  - a. The Request for Transfer shall be on at least a two-part consecutively-numbered transfer form that uses a continuous numerical series.
  - b. Access to the Request for Transfer Form shall, prior to use, be restricted to Table Games Pit Managers or above.
2. When fills are prepared for transfer, the following procedures and requirements shall be observed:
  - a. The Table Games Pit Manager or above will issue a request for transfer to the chip bank.
  - b. The Chip Bank will process a Transfer Fill/Credit Form (pg. 4). Each series of Transfer Fills shall be a two-part form, at a minimum.
  - c. The Request for Transfer will be attached to the Chip Banks copy of the Transfer/Credit Form.
  - d. Each of the two subsequent copies must be signed by at a minimum, the Chip Banker, Security, and the Table Games Pit Manager or above attesting to the

verification and acceptance of the ante chips. The second copy will be maintained with the Ante Chip Log (pg. 5) in the pit.

3. All ante chips distributed to the Gaming Pits from the Chip Cage shall be transported to the Gaming Pits from the chip cage by Security, who shall sign the original copy of the Transfer Fill/Credit Form, maintained at the cashier's cage before transporting the ante chips and the original and duplicate copies of the Transfer Fill for signatures.

a. Transfer fills shall be verified by the Table Games Pit manager in public view before placing the fill in the ante cabinet.

b. All ante chips must be trayed.

4. Signatures attesting to the accuracy of the information contained on the Transfer Fills, shall be, at a minimum, the following personnel at the following times:

a. The original and the duplicate:

i. The Chip Bank Cashier upon preparation.

ii. The Security personnel transporting the ante chips to the Gaming Pits upon receipt from the cashier of ante chips to be transported.

iii. The Table Games Pit Manager or above assigned to the Gaming Pits upon receipt at such table from Security.

iv. The Table Games Pit Manager assigned to the Gaming Pits upon receipt of the ante chips at such storage cabinet.

b. Each person required to provide a signature attesting to the accuracy of the information contained on the Transfer Fills shall also provide their respective gaming license number next to their signature.

5. Upon meeting the signature requirements described in #4 above:

a. The Security personnel that transported the ante chips and the original and duplicate copies of the Transfer Fill to the table shall observe the immediate deposit of the Fill Transfer Request into the Accounting Drop Box attached to the Gaming Pit to which the ante chips were transported.

b. The duplicate copy of the Request for Transfer and Transfer Fill shall be maintained together and controlled by Downstream Casino Resort Team Members independent of the Gaming Facility Department.

6. The part of the Fill Slip that is placed in the drop box shall be of a different color for fills than for credits, unless the type of transaction is clearly distinguishable in another manner (the checking of a box on the form shall not be a clearly distinguishable indicator).

# FILL

Downstream Casino Resort

Doc. ID: 10024007

**Station: UT105**

Location: Pit 1

Cage:

Date: 12/10/2009 15:40

Acct. Date: 12/10/2009

Pit Shift Day

Game: Ultimate Texas H

Cage Shift: Day

\$100.00	--	\$2,000.00	Chips-Chips
\$25.00	--	\$1,000.00	Chips-Chips
\$5.00	--	\$400.00	Chips-Chips
\$1.00	--	\$60.00	Chips-Chips
\$0.25	--	\$5.00	Chips-Chips

**\$ 3,465.00**

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Cash Desk

---

Runner

---

Pit Manager

---

Dealer

\*EC0010024007\*

**PIT ANTE CHIP LOG**

DATE: \_\_\_\_\_  
PIT #: \_\_\_\_\_[illegible]

Example of Ante Transfer Form

<b>Ante Transfer</b> <b>DOWNSTREAM</b> <small>CASINO RESORT</small>			
<input type="checkbox"/> <b>FILL</b>		<b>CREDIT</b> <input type="checkbox"/>	
DATE		TIME	
SHIFT	GYD	DAY	SWING
<small>GAME</small>	<small>NUMBER</small>	<small>Color</small>	<small>AMOUNT</small>
25¢			
\$5.00			
\$25.00			
TOTAL			
MEMO			
SECURITY		PIT MGR.	
CASHER			

8P 20320

T- 668



<b>DOWNSTREAM CARD CRAPS</b>	<b>Policy No:</b> 1100.05.01	<b>Issue Date:</b> 02/04/2010 <b>Revised Date:</b> 02/19/2010
<b>PURPOSE:</b> To establish procedures for Craps.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	11/01/2009
Compliance Review	11/04/2009
QTGA Submission	11/04/2009
Revisions Made by Compliance	12/24/2009
Revised Version Submitted to QTGA	12/31/2009
QTGA Return	01/07/2010
Compliance Review	01/14/2010
QTGA Submission	01/21/2010
QTGA Return	01/27/2010
Compliance Review	01/28/2010
QTGA Final Submission	01/28/2010
GM Approval	01/27/2010
QTGA Final Approval	02/04/2010
DDA Final Approval	02/17/2010
Revision to Final	02/19/2010
QTGA Submission	02/19/2010
QTGA Approval	02/19/2010
DDA Approval	03/31/2010

### **TO BEGIN THE GAME**

1. All players must have a Pass Line or Don't Pass Line bet in order to play Downstream Card Craps. One player will have the designated dealer button. Players without a Q-Club card will be charged a House Ante prior to the Designated (card caller) starting the round. Players with a Q-Club card will have antes paid by Downstream Casino Resort (DCR) and will be placed in a designated area by the Box person. The charge per player per round for antes will be a pre-determined amount set by DCR Management and will be collected by the Base dealer.

Exception: Players who choose to place wagers only on the proposition bets may do so as long as the set ante amount per round is paid either by the player without a Q-Club card or by DCR for those players with a Q-Club card.

### **PASS LINE**

1. The Base dealer will pay any winning Pass Line bet from base to stick, with the odds being paid before the flat bet.

2. The maximum allowable odds behind the Pass Line will be paid as follows:
  - a. Two (2) to one (1) if the point is four (4) or ten (10).
  - b. Three (3) to two (2) if the point is five (5) or nine (9).
  - c. Six (6) to five (5) if the point is six (6) or eight (8). (Industry Standards for Pass Line and Come Bet Odds)
3. The odds are placed behind the Pass Line with a gap of at least two (2) fingers width between each players Pass Line bet and their odds bet.
4. A player may not remove their Pass Line bet, after the Point has been established, and before there is a decision on the established point. They may however, add to their Pass Line bet and remove all or any part of the odds bet at any time before a decision is rendered on the point. Adding to the Pass Line Wager before a decision has been reached will require an additional Ante as described above.
5. Players must be encouraged to place their bets on the Pass Line in accordance with their positions around the table (right in front of the patron). Winning Pass Line bets can only be totaled or converted with the Box person's authorization.

### **DON'T PASS LINE**

1. The Baseperson will pay the Don't Pass Line bet from base to stick, with the odds being paid before the flat bet. When a patron lays odds against the point, that wager will be placed closest to the Base dealer from base to stick. The Baseperson will pay the first bet with their inside hand.
2. The maximum allowable odds to lay for a Don't Pass bet will be paid as follows:
  - a. Lay two (2) to one (1) if the point is four (4) or ten (10).
  - b. Lay three (3) to two (2) if the point is five (5) or nine (9).
  - c. Lay six (6) to five (5) if the point is six (6) or eight (8).
  - d. Any incorrect lay bets (overages) that cannot be paid according to the true odds will receive no action at the discretion of the box person or supervisor. The Base dealer and the box person must continuously monitor for correct lay bets on the layout.

3. A Player may not bet on the Don't Pass after the point has been established, but players with existing Don't Pass bets may remove or reduce their bet at any time. Once removed, a Don't Pass bet cannot be replaced until a new point is established and no portion of the Ante can be returned. Any existing Don't Pass bets cannot be increased at any time. However, the player may Lay the point after the point has been established by paying a 5% vig on the amount of the projected win on the wager. The Base dealer will place a lay button on top of the bet to signify to all of such a wager.

### **FIELD BETS**

Field bets are one time bets and can be played at any time. The Field consists of the following numbers: 2, 3, 4, 9, 10, 11 and 12.

1. The 2 or "aces" is paid at odds of two (2) to one (1) and the 12 is paid at odds of (2) to one (1) or (3) to one (1) depending on what is posted on the layout. The 3, 4, 9, 10 and 11 are paid at odds of one (1) to one (1). The Field loses on 5, 6, 7 and 8.
2. The Field bets are to be paid from the outside toward the stick.
3. On a come out total, if 5, 6, 7 or 8 is dealt, any losing Field bets should be taken with both hands, after marking the point with the inside hand. (Bets closest to the Stickperson may be picked-up with the inside hand.)
4. Great care and attention must be placed toward Field bets.
5. Although these are self-service bets (wagers the patron can place directly on the layout), the Baseperson must make sure all bets have been paid or taken before the next decision as major disputes can arise.

### **PROPOSITION BETS (THE PROPS)**

Proposition bets, also known as "prop" bets, are a multitude of wagers located in the center of the crap table. ONE TIME bets must be decided on the next two card total. Additional One Time wagers can be immediately placed after any decision.

1. Hardways: These are bets on the exact combination of cards from the Six Card Set. There are four (4) hard way combinations: The hard four (4) 2-2, the hard six (6) 3-3, the hard eight (8) 4-4 and the hard ten (10) 5-5. Hard way bets win if the selected hard way is dealt before a seven (7) or the easy combination of that particular number is dealt.

Example: If you placed a wager on a hard six (6), you are wagering that the card total will come up a 3 and 3. You would win if this occurs before any seven (7) is dealt or a combination of a 4 and 2 or a 5 and 1 (both combinations of an easy six (6)).

- a. Odds on the hard ways differ depending upon which hard way hit. The odds on the hard way bets are as follows:
    - i. The hard four (4) and ten (10) are paid at odds of seven (7) to one (1).
    - ii. The hard six (6) and eight (8) are paid at odds of nine (9) to one (1).
  - 2. Any Craps: A one (1) time bet that the next total of the cards is going to be a 2, 3 or 12. The “any Craps” wager is paid at odds of seven (7) to one (1).
  - 3. Any Seven: A one (1) time bet that the next total of the cards is going to be a 7 in any combination. The any seven (7) wager is paid at odds of four (4) to one (1).
  - 4. Three or Eleven: Two (2) separate one (1) time wagers that the next total of the cards is going to be either a three (3) or an eleven (11). These wagers will be paid at odds of fifteen (15) to one (1). A three (3) must be dealt for the three (3) to win and an eleven (11) must be dealt for the eleven (11) to win. If a three (3) is the total, the eleven (11) loses and vice versa.
  - 5. Two or Twelve: Two (2) separate one (1) time wagers that the next total of the cards is going to be either a two (2) or a twelve (12). These wagers will be paid at odds of thirty (30) to one (1). A two (2) must be dealt for the two (2) to win and a twelve (12) must be dealt for the twelve (12). If a two (2) is the total, the twelve (12) loses and vice versa.
  - 6. Horn Bet: A one (1) time bet that the next total of the cards is going to be a 2, 3, 11 or 12. This wager is usually made in multiples of four (4) with one (1) unit on each number. If any of these numbers is dealt, you win. If any other number is dealt, you lose. If the winner appears, the wager is paid at posted odds of that individual number.
  - 7. Horn High Bet: A one (1) time bet always made in multiples of five (5) with one (1) unit on three (3) of the horn numbers and two (2) units on the “high” number of the bettors’ choosing. Odds are the same as a horn bet.
- Example: A five dollar (\$5) horn high eleven (11) would put one dollar (\$1) on the 2, 3, 12 and two dollars (\$2) on the 11.
- 8. World bets: A one (1) time bet that the next total of the cards is going to be a 2, 3, 7, 11 or 12. If the winning wager is a 2, 3, 11 or 12, the wager is paid at the posted odds for that individual number. If a 7 is dealt, it is paid at odds of four (4) to one (1) and the bet is a push.
  - 9. C & E (Craps or Eleven): A one (1) time bet that the next total of the cards is going to be a 2, 3, 11 or 12. If the winner appears, you will be paid at the same odds as a horn wager.

### **COME LINE/COME BETS/PUT BETS**

1. The Base dealer must ensure that all Come bets, and any odds bet must be within the appropriate space. When a customer requests odds with their Come bet, the Baseperson will place odds on top of the flat bet, offsetting them toward the come on top of the flat bet.
2. Odds are not working on the come out decision (unless called on by the player) and must be saved and returned to the player on a Come Out seven (7) winner.
3. When placing Come bets from multiple players, the Baseperson will work from stick to base placing the Come bets in the respective betting areas. The Baseperson will take the first Come bet with the inside hand and place it in the number box, while lifting the next bet with the outside hand and place it in the number box, this will continue until all Come bets have been placed.
4. If a player makes a Come Bet Wager without first making a wager on the Pass Line or Don't Pass Line, they will be assessed an Ante on their first Come Bet amount, similar to a Pass Line Ante.
5. Do not lift more than one (1) Come bet at a time in either hand as this can result in mistakes and disputes. All Come bets are handled in order from stick to base regardless of whether a Come bet has odds or is an off and on bet.
6. Come Bet Odds are off on the Come out Decision unless called "On" by the player. The dealer will place an "on" button on the patrons first come bet in order to signify that it is "working" (action). Odds are "saved" on a Come out Winner 7. Odds can be turned off during play with the use of "On /Off" buttons.
7. "Put Bets" are Come Bets. "Put Bets" can be wagered by any player at any time and are positioned in the respective Come Bet boxes. All rules pertaining to Flat Come Bets apply.

### **DON'T COME BETS**

1. The Base person will take a Don't Come bet with the outside hand and place it behind the number with respect to the player's position. (The Baseperson may use the inside hand when placing bets closest to the Box person.)
2. The Player may lay odds in support of a Don't Come flat bet. Lay odds are always working and may be taken down at any time. (The Base dealer should lay odds next to the flat bet and pay the odds lay first if it wins).

3. When setting up lay odds for Don't Come bets, they will be bridged or heeled.
4. The Baseperson will pay all winning Don't Come bets and any odds for each player individually, working inside to out and in order. The Base person will pick up all winning bets individually with their outside hand and tap them in the Don't Come box then hand (heel) them off in front of the player.
5. Depending on the situation, other methods of paying Don't Come bets may be used with approval of the Box person and/or DCR Management.

### **PAYING COME LINE/COME BETS**

1. When dealing with Come bets of the same amount from the same player (without odds), the Baseperson can utilize an off and on procedure for paying the winning Come bet. The Baseperson will pay the winning Come bet with their inside hand sizing into the winning Come bet announcing, "OFF AND ON FOR (amount)".
2. If the new Come bet is not of equal value to the existing Come bet, the Baseperson will take out the Come bet with their inside hand, and pay with the outside hand in front of the player in the come bet area, and move the new Come bet into the number with the inside hand.
3. A Player betting the Come line may also have a Place or Buy bet working.
4. A player may have an interest in the number three (3) ways; Place, Come and buy.
5. All Come bets (flat bets) are always working on any come out total and all come bet odds will be off on any come out decision unless called on by the player.
6. If a player requests that the Come odds are working on the come out decision, the Baseperson will confirm by placing an "on" button on top of that player's come odds closest to the Box person announcing, "ODDS ARE WORKING".
7. The Baseperson will place an off button on top of the Place bet and Come bet odds closest to the Box person, when a player requests that their bets are off. On Hard ways, the button will go on top of one of the player's Hard ways bets.
8. When the player has multiple Come bets with odds on the come out decision and requests a certain number(s) to be working, the Baseperson will place an on button on any bets that are working, and place an off button on the bets that are not working. This procedure will also apply to Place bets and Hardways. (Odds that are not working can also be handed back to the player.)

9. When the Baseperson pays a Come bet, they will pick up the Come bet with the inside hand and place it in the Come area (in front of the correct patron; in the come area). At the same time, the Base person will pick the payoff with the outside hand from their stacks and place it next to the bet in the Come area.

### **BUY BETS**

1. The Baseperson will take the Buy bet and place it inside the number corresponding to the player's wagering area. Once the bet has been placed in the box, the Baseperson will place a buy button on top of the bet to distinguish it from a Come bet.

2. Buy bets will be handled just like a place bet but paid at true odds.

3. The Baseperson will charge a vigorish of five percent (5%) on all Buy bet wagers. This will be collected as the wager is being placed or booked by the Base dealer.

4. Buy bets will be paid in the same order as Place bets and after all Come bets have been paid.

5. Buy bets are off on the come out decision unless the player requests them working.

6. If Buy Bets are called "off" and "down" by a player, the Bet amount including collected Vig is returned.

7. The winning odds on Buy bets are:

a. Two (2) to one (1) if the point is four (4) or ten (10).

b. Three (3) to two (2) if the point is five (5) or nine (9).

c. Six (6) to five (5) if the point is six (6) or eight (8).

### **LAY BETS**

1. Lay bets are always working unless called "off" by the player then handed back to the player.

2. The Baseperson will take the Lay bet, place the bet behind the number and place a Lay button on top of the bet. All Lay bets will be placed according to the player's position.

3. A vigorish of five percent (5%) is charged on what the player can win, not on what they lay. The Baseperson will charge a vigorish of five percent (5%) on all winning Lay bets when the bet is placed or booked. If the Lay Bet is called down by a player, the bet amount including the collected Vig is returned. At no time will a Lay bet have an off button on it. It will be handed off to the player when there is no action.

4. If the player has a Don't Come bet and wishes also to have a Lay bet on the number, the five percent (5%) vigorish will only be charged on any amount that would exceed the maximum lay odds that correspond with the Don't Come bet.

5. Odds on Lay bets are:

- a. Lay two (2) units to win one unit (1) if the number is four (4) or ten (10).
- b. Lay three units (3) to win two units (2) if the number is five (5) or nine (9).
- c. Lay six units (6) to win five units (5) if the number is six (6) or eight (8).

### **PLACE BETS**

1. The Base dealer will set up the Place bets working from the outside in. The Base dealer will drop cut the correct amount of cheques on each number with the highest denomination cheque in the inside hand and the lowest denomination cheque in the outside hand.

2. All Place bets will be off on any come out decision unless called on by the player. The Baseperson will confirm that the bets are called on by placing an On button on top of the Place bet closest to the Boxperson and announce, "PLACE BETS ARE WORKING".

3. Odds on Place Bets are:

- a. Nine (9) to five (5) if the point is four (4) or ten (10).
- b. Seven (7) to five (5) if the point is five (5) or nine (9).
- c. Seven (7) to six (6) if the point is six (6) or eight (8).

4. Place bets will be paid from stick to base according to the player's position, and after all Come bets have been placed or paid.

5. The Base dealer will pick out the payout from their working stacks with the highest denomination in the inside hand. The Base dealer will place the payoff in the Come bets and stack the payoff with the outside hand before heeling it on the apron directly in front of the player's area.



### **TAKE-PLACE-PAY DEALING ORDER**

When dealing with the proper order for taking, placing and paying bets, the following guidelines should be followed:

1. After each and every total of the cards, the Base dealer will:
  - a. Take all losing wagers.
  - b. Place new flat bets which are Come bets and Don't Come bets.
  - c. Pay Place bets and Buy bets in order.
  - d. Pay Proposition bets as directed by the stick person.
2. This is the only exception to the Take-Pay-Place order:
  - a. When there is a Winning Field bet, that wager will be paid first because working from the outside-in supersedes Take-Pay-Place in this instance.
  - b. Place bet will be paid after Don't Come and Come bets have been placed.
  - c. Don't Come bets will be positioned before Come bets are paid and Come bets will be placed one player at a time and in order.
  - d. On a "seven (7)-out", the losing bets in the Come boxes will not be picked up until after all winning Don't Pass, Last Come and Don't Come bets behind the numbers have been paid.
3. The Base dealer will pay the Pass Line and Don't Pass Line bets from base to stick. The Base dealer will pay the odds and then the Flat bet for each individual wager. At no time will the Base dealer total payoffs on the pass line, without approval from the box person or supervisor. Payoffs on the don't pass line on a miss out (seven out) will never be totaled under any circumstance.
4. The Base dealer will pay Come bets and Place bets from stick to base.
5. Proposition bets are paid when authorized by the Stickperson from the base to the stick, starting with the end opposite from the dealer button.

6. The Base dealer will pay the Come bets in the Come area in front of the player's position, but not handed off to the player like place bets.
7. The Base dealer will pay the Don't Come bets behind the number. Once all Don't Come bets have been paid, the Baseperson will tap the winning Don't Come bets in the Don't Come before placing them in front of the player on the apron.
8. On any Proposition bet payoff, the stickperson will place the stick in front of the winning patron then direct the payoff to the Base dealer, while announcing the amount being paid, the wager and whether the player is still up to win again. This will allow the Box person and/or DCR Management to have an opportunity to correct any errors prior to completion of the payoff.
9. The Base dealer is responsible on a Pass Line or Don't Pass Line bet, to visually check all odds taken for the proper amount and required spacing.
10. Don't Come and Lay bets should be paid one (1) player at a time, base to stick, paying all of his bets at once announcing each payoff as it is paid.

### **WAGERS**

1. All wagers in Craps will be made by placing gaming cheques on the appropriate areas of the layout.
2. Wagers should be made before the promotional devices leave the promotional participant's hand and before the cards are totaled from the six or Twelve Card Set. For detailed information on promotional devices used in Craps, see Policy #1100.26.01, "Promotional Devices Used in Craps".
3. When the player requests a bet and places the cheques on the layout, but you cannot immediately ascertain that the cheques the player has set in is the correct amount, it will be given to the Box person and the bet will be put up with clean cheques. The Box person will run down the player's cheques and will inform the player if the amount is correct.
4. The Base dealer will use either all player cheques or all house cheques to set up bets. The Base dealer will never use part player and part house cheques.
5. A wager made on any bet may be removed or reduced at any time prior to a decision except a Pass Line bet, Flat Come bet or Put Flat Bet.
6. A Don't Come bet and a Don't Pass Line bet may be removed or reduced at any time but may not be replaced or increased after they have been removed or reduced until a new come out decision. Antes cannot be returned.

### **RESPONSIBILITIES OF THE STICKPERSON & BOXPERSON**

1. The Stickperson carries the primary responsibilities for the conduct and pace of the game.
2. The Stickperson gives the promotional devices to the player whose turn it is to deal, calls out the total of the promotional devices after they have stopped, calls out the appropriate decision based upon the Six or Twelve Card Set and then returns the promotional devices to the box. The box is the inside center section of the table in front of the bankroll.
3. The Box person will have the responsibility to identify the corresponding playing cards from the Six or Twelve Card Set to determine the Call of the game. The method to determine the winning card combinations are as follows:
  - a. Six (6) playing cards will be arranged in a straight row directly in front of the box person on the layout. These Six (6) cards will be referred to as the Six Card Set. Variation: A Twelve (12) Card Set may be utilized.
  - b. The layout will be printed with six (6) or twelve (12) individual boxes into which only one (1) playing card of the Six or Twelve Card Set will be placed. The printed boxes will be numbered sequentially as follows; 1 2 3 4 5 6, and 1 2 3 4 5 6. At no time will more than one (1) playing card from the Six or Twelve Card Set occupy any one box.
  - c. The Six (6) or Twelve (12) Playing Cards in any Six or Twelve Card Set will each contain one (1) digit. The digits utilized are as follows: 1 2 3 4 5 6 and 1 2 3 4 5 6. Each card will contain only one number on the face side with a standard casino design on the back of the playing cards.
  - d. The backs of the Six or Twelve Card Set will be similar in nature with no intentional or accidental markings that would determine the value of the face side of the cards.
  - e. In the event that a playing card (or cards) is intentionally or accidentally marked or damaged in any way, the entire Six or Twelve Card Set will be replaced immediately.
  - f. Each player will in turn be offered the opportunity to act as a dealer. This player will be designated by a dealer button, similar to those used in Texas Hold Em Poker.

- g. The Base dealer will not offer any player greater or lesser odds or payoffs than any other occupied position or player at the gaming table.
- 4. The Stickperson must advertise the existence of the proposition and other bets available. This should be done between every total of the cards.
- 5. The Stickperson must also observe, to ensure accuracy and game security, the work of the Baseperson on the end of the table opposite from the designated dealer button. The Box person must observe the accuracy and security of the Baseperson on the side of the table that has the player with the designated dealer button. The stickperson will also ensure the accuracy of the call of the card totals.

#### **DUTIES OF A STICKPERSON – PROPOSITION BETS**

- 1. The Stickperson will suggest proposition bets every throw. The Stickperson can instruct a player on how to play the game, but not how to bet their money.
- 2. The Stickperson will repeat all Proposition bets loudly and clearly so that the player, the Box person and the Base dealer are aware of what and how much the bet is. This will be done even if the Base dealer has booked the bet.
- 3. The Stickperson will place the proposition bets on the layout in relationship to where the player is standing at the table. The Base dealer will make every effort to ensure proper placement before the cards are totaled.
- 4. The Stickperson is responsible for seeing that the Proposition bets are not under or over the table limit.
- 5. The Stickperson is responsible for taking down all losing Proposition bets and observing the card total for accuracy.
- 6. When taking all losing Proposition bets, the Stickperson will place them on the side of the paddle.
- 7. The Stickperson will authorize all Proposition bet payoffs in order from base to stick starting with the end of the table opposite of the player with the designated dealer button.
- 8. The Stickperson will place the stick in front of the player's betting area and announce the amount of the payoff and what the bet was, "PAYING (dollar amount) FOR A (amount of bet)". "Paying \$15.00 for a \$1 yo (11)".
- 9. The Stickperson is responsible for all hard way bets and their status, either working or not working, on every decision.

10. The Stickperson is responsible for ensuring that the Base dealers mark the correct point.

### **RESPONSIBILITIES OF THE BASEPERSON**

1. There are two (2) Base dealers, one (1) located at each end of the inside of the table.
2. The Base dealer will make any change needed by the patron after verification by DCR Management, as well as paying proposition bets at the direction of the Stickperson, on their respective end of the layout.
3. The Base dealers are also responsible for marking point numbers with the puck, and maintaining an organized bankroll.

### **BRIDGING AND HEELING**

1. If a player has a bet on the Don't Pass Line or behind a number, and lays odds in support of their flat bet, the Baseperson will either bridge or heel the cheques in the lay odds, depending on the point or amount of the wager.
2. Bridging cheques is done when the Flat bet and the Lay payoff are the same payout amount on single color bets.
3. The Base dealer will heel the bet when the Flat bet and the Lay odds payoff are of a different amount.
4. The Base dealer will not bridge cheques in a multi-color bet. If a player has twelve dollars (\$12) behind the number ten (10) and requests twenty-four dollars (\$24) Lay odds, the cheques must be heeled. At no time will a multi-colored Flat Lay bet ever have odds bridged.
5. The Base dealer will always pay heeled odds bets first, and then pay the Flat bet. Bridged bets will never be paid in total. The Base dealer will match into the two (2) ends of the bridged bets paying color for color.

### **CONVERTING PAYOFFS**

1. When converting a player from one (1) unit to another, (i.e. red chips up to green chips), cut the stack down and leave it cut down until the transaction has been completed and the player has received their payoff.

2. The Base dealer will not convert the player's bet to make change unless authorized by a Box person or DCR Management.
3. When making a conversion, the Base dealer will always keep the payoff separate from the original bet.
4. When converting a player, be sure to keep the player in enough of the smaller units the player is betting to avoid unnecessary cheque changes (at least twenty (20) cheques of the color being played).
5. When converting a player or coloring a player's cheques, move the player up to the next denomination cheque. For example, a player using five-dollar (\$5) cheques should be converted to twenty-five dollar (\$25) cheques.
6. When possible, honor a player's request in converting or coloring his cheques.

<b>Requesting, Issuing and Redemption of Markers for Table Games</b>	<b>Policy No:</b> 1100.25.01	<b>Issue Date:</b> 03/11/2010
<b>PURPOSE:</b> To establish procedures for Table Games as it pertains to the requesting, issuing, and redemption of Markers at the Tables.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	3/11/2010
Compliance Review	12/29/2009
QTGA Submission	1/14/2010
QTGA Return	1/25/2010
Compliance Revisions based off of QTGA	1/27/2010
QTGA Submission	1/27/2010
QTGA Return	2/09/2010
Compliance Review	2/10/2010
QTGA Submission	2/18/2010
GM Approval	2/12/2010
QTGA Final Approval	3/11/2010
DDA Final Approval	3/31/2010

## **POLICY**

The following are procedures for Table Games as it pertains to the requesting, issuing and redemption of Markers (counter checks) (pg. 7) at the Tables.

### **REQUESTING AND ISSUING A MARKER (CREDIT)**

1. When a patron is at a specific table and he/she requests a Marker, the Floor Supervisor will generate a Marker Request Slip (pg. 6) that will have the following information:
  - a. Last name/First name
  - b. Account number of patron, which is assigned by CTA
  - c. Table number
  - d. Date
  - e. Time
  - f. Shift

- g. Amount requested
  - h. Supervisor signature and badge number
- 2. The Floor Supervisor will forward the Marker Request slip to the Pit Boss with the patron's player's card and valid Driver's License.
- 3. The Pit Boss will look up the patron's information in the Cage and Table Accounting (CTA) system (including comments) and verify:
  - a. A credit line is available.
  - b. Credit line covers the requested amount.
  - c. Patron's player's card is currently active.
- 4. Once all information is verified, the Pit Boss will generate the requested Marker by inputting the information off the Marker Request Slip into the CTA system for printing.
- 5. Once the Marker is generated, the Pit Boss will verify that the information on the Marker is correct and will either top sign or actually sign the issue stub.
- 6. The Pit Manager will notify Surveillance of the impending Marker with the following information:
  - a. Patron's name and account number.
  - b. Table number and seat location.
  - c. Amount of credit to be issued.
- 7. The Pit Boss will provide the Marker to the patron for his/her signature on the check.
- 8. Once complete, the Floor Supervisor will place the Marker on the table in front of the Dealer.
- 9. The Dealer will verify that the following information is correct:
  - a. Table number
  - b. Pit Boss Verification
  - c. Patron's Signature and date



10. The Dealer will sign the issue stub with his/her gaming license number.
11. The Floor Supervisor will place a lamer button by the drop box paddle for the amount of credit to be extended.
12. The Dealer will cut out the appropriate amount of chips in front of the rack.
13. Once verified by the Floor Supervisor, the Dealer will pass the chips to the patron.
14. The Floor Supervisor will sign the issue stub with gaming license number and place it on the table.
15. The Dealer will verify all signatures are in place and drop the issue stub in the drop box.
16. The Floor Supervisor will return the signed Marker to the Pit Boss who will secure it at a locked drawer in the pit podium.

#### **REDEEMING A MARKER AT THE TABLE**

1. A patron may Redeem (Buy Back) a previously issued Marker only at the Table it was issued during that gaming day as long as the rating card has not been closed. If the rating card has been closed on the patron, the marker (s) for that patron must be immediately transferred to the cage. (See Transfer of Markers to Cage on pg. 4)
2. The Dealer will call a Floor Supervisor before accepting any chips from a patron.
3. The Supervisor will acquire the patron's Player's card and hand it over to the Pit Boss.
4. After the Supervisor's approval, the Dealer will accept and count the amount of chips from the Patron.
5. The Floor Supervisor will place the appropriate corresponding lamer button, for the Buy Back amount, on the table next to the drop box paddle.
6. The Pit Boss will notify Surveillance of the Marker Buy Back with the following information:
  - a. Patron's Name and account number assigned by CTA
  - b. Table number and seat location
  - c. Amount of Marker Redemption (Buy Back)

7. Once the Pit Boss has verified that the amount of chips on the Table matches the amount of the signed marker, the Pit Boss will hand the patron the actual signed Marker (Check) in order to complete the Redemption on the patron's part.
8. The Pit Boss will sign the Redemption stub with gaming license number and place it in front of the Dealer.
9. The Dealer will verify the following:
  - a. Amount of the Buy Back is correct off the Marker.
  - b. Table number is correct.
  - c. Pit Boss signature and gaming license number are in place.
10. The Floor supervisor will sign the Redemption stub to complete all signatures.
11. The Floor Supervisor will place the Marker Buy back stub in front of the Dealer who in turn will drop it in the drop box.
12. The Floor Supervisor will remove the lamer from the table to complete the transaction.
13. The Pit Manager will go into the IGT system and redeem the Marker to show the Buy Back by the Patron.

#### **TRANSFER OF MARKERS TO THE CAGE**

1. All active Markers must be transferred to the Cage at the end of the gaming day when a drop occurs.
2. The Pit Boss shall mark in the CTA system that the markers are to be transferred. A computer generated form will print in the cage. The Pit transfer form is a three-part, pre-numbered form that contains the following information:
  - a. Date
  - b. Transaction number
  - c. Patron's name
  - d. Patron's player's card number
  - e. Marker number and amount

- f. Grand total of markers transferred
- g. Signature line for Pit Representative
- h. Signature line for the Security Officer
- i. Signature line for the Cage Representative

3. The Cage Representative (Cage Supervisor, Cage Shift Manager, Cage/Credit Manager, and/or Main Bank Cashier) shall notify Security that the Pit has requested a Marker transfer. The Security Officer shall come to the Cage and obtain the pre-printed marker transfer form. (If the computer system is down, the Pit Boss shall prepare a manual form and contact Security to come pick up the manual form and the markers.)

4. The Security Officer shall take the marker transfer form to the designated pit, verify the markers being transferred to the marker transfer form, sign the form, and request that the Pit representative sign the form.

5. The Security Officer shall transport the marker transfer form, along with the markers in a bird cage to the Main Cage.

6. The Cage Representative shall verify the marker transfer form to the markers received and sign the form. Add the marker(s) to ensure that the total matches the transfer sheet. The Cage Representative shall then sign the form and write gaming license number next to the signature.

7. The Cage Representative shall give the Marker form to the Security Officer who will take it back to the Pit Boss who will drop the form into the Pit drop box for audit purposes.

8. The Marker form (pg. 7) and Payment Receipt (pg. 7) are placed in the patron's marker envelope. The Marker Issuance Receipt (pg. 7) is placed in the cash drawer to offset cash dispersed. The marker forms are placed in the Marker Bank drawer and used for balancing purposes and later sent to Accounting in the shift's paperwork.

## **Marker Request Slip**

Patron Name: \_\_\_\_\_ Account #: \_\_\_\_\_  
Last First

Table: \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_ Shift: D S G

Requested Amount: \_\_\_\_\_ Written Amount: \_\_\_\_\_

Supervisor Signature and Badge #: \_\_\_\_\_

## Example of Marker Form

DOWNSTREAM CASINO RESORT	
marker	
Payment stub	
Issuance stub	

<b>SOFT COUNT POLICY</b>	<b>Policy No:</b> 1500.04.01	<b>Issue Date:</b> 6/1/2008 <b>Revised Date:</b> 9/15/2009 03/10/2010
<b>PURPOSE:</b> To establish procedures for the counting of currency and other items that may be placed into drop boxes.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	6/1/2008
Compliance Review	9/1/2009
QTGA Submission	9/16/2009
QTGA Return	12/2/2009
Compliance Review	3/10/2010
QTGA Submission	3/12/2010
QTGA Final Approval	3/25/2010
GM Approval	3/12/2010
DDA Final Approval	3/31/2010

### **SOFT COUNT ROOM PERSONNEL**

1. Count personnel are defined as all members of the Count Team department, whether they perform duties in the Count Room and/or on the Drop/Pull Floor.
2. The gaming tables soft count and the Electronic Gaming Machine (EGM) bill acceptor count shall be performed by a minimum of three (3) Team Members.
3. No Count Team member shall be permitted to enter or leave the Count Room during the counting process, except for scheduled breaks, or in the event of an emergency, or at the end of his/her shift. At no time during the count shall there be fewer than three (3) Team Members in the count room until the drop proceeds have been accepted into cage/vault accountability. Count Room supervisor or above shall be permitted to enter or leave the Count Room during the counting process as needed for instruction, discipline or other issues and shall include the Count Team Manager. Under authorized circumstances, a Quapaw Tribal Gaming Agency (QTGA) Director or Casino Compliance Manager or their designee may allow members of internal audit, income audit, external auditors, or appropriate internal or external vendor technicians into the count room during the count. During these authorized circumstances, an Access Memo (pg. 10) signed by QTGA must be completed prior to allowing entry for said persons. A copy of the Access Memo will be provided to Surveillance. Surveillance shall be notified whenever count room personnel or other persons exit or enter the count room at anytime.
  - a. When a member of the Count team or other persons are required to enter or exit the Count Room during the counting process, all Team Members remaining in the Count

Room shall be required to display his or her hands and to step away from the Count table until the Count Team Members or other persons have entered or exited the Count Room.

- b. Once the counting process has been started, a Count Team Member shall be required to notify the Surveillance Department whenever a Count Room door needs to be opened.
  - c. When an emergency arises for a Team Member to exit the soft count room to use the restroom or other approved personal business related emergency, security will need to be notified so that they may come to the cart trap for a garment check on the Team Member or Members needing to exit soft count. If there are only three Team Members in soft count at this point, all three will need to secure funds and exit the soft count room at the same time.
4. If an emergency does arise, Surveillance shall be notified and all count Team Members must stop what they are doing and immediately place their hands in the air, in plain view of the Surveillance cameras. The Count Team Supervisor or above shall be notified of the nature of the emergency.
5. In the event it is necessary to leave the Count Room, all funds must be secured prior to leaving the room, and in the event of electrical power failure, emergency backup power must be utilized.
6. Count team members shall be rotated on a routine basis such that the count team is not consistently the same three (3) persons more than four (4) days per week. This standard shall not apply when a count team of more than three (3) persons is utilized.
7. The count team shall be independent of transactions being reviewed and counted. The count team shall be independent of the cage/vault departments; however, an accounting representative may be used if there is an independent audit of all soft count documentation.
8. With the exception of authorized observers, all person(s) in the count room shall wear one piece jumpsuits that have no pockets and are short sleeve.
9. No person present shall:
  - a. Carry a pocketbook or other personal container or personal items; or
  - b. Remove his or her hands from or return them to a position on or above the Count table unless both the backs and palms of his or her hands are first held out and exposed to the view of other members of the Count team and the Surveillance camera.

10. Security will inspect the count room prior to commencing the count process, ensuring that no foreign items are present.
11. Security shall inspect the count room immediately following the count to ensure no currency or other material is remaining in the room after the completion of the count process.
12. Immediately prior to the commencement of the Count:
  - a. The doors to the Count Room shall be securely locked by:
    - i. Controlled magnetic lock;
    - ii. Manual key held by the Security department, in the event of magnetic lock failure. If this occurs, Security must be present at said door with key while Team Members are inside the Count Room, for emergency exit precautions.
  - b. A Count Team member shall notify the Surveillance Department by phone that the Count is about to begin.

#### **SOFT COUNT STANDARDS**

1. The Downstream Casino Resort (DCR) shall place on file with the QTGA, the specific times during which the Drop Boxes are to be removed from the Gaming Tables and EGMs. Additionally, DCR shall provide QTGA with the approximate time that the contents of Gaming Tables Storage Boxes and EGM Cash Storage Boxes are to be counted and recorded. Gaming Tables Storage Boxes shall be removed from Gaming Tables and counted and recorded, at a minimum once each gaming day.
2. If requested, the Count Room Supervisor or Manager shall provide the QTGA Compliance Agent, a copy of the written log (pg. 11) which contains the name and gaming license number of each person who:
  - a. Enters the Count Room during the counting process;
  - b. Is present in the Count Room during the counting process; or
  - c. Exits the Count Room prior to the conclusion of the counting process.
3. The soft count shall be performed by a minimum of three Team Members.
4. No Count Team Member shall be permitted to enter or leave the Count Room during the counting process, except for scheduled breaks, or in the event of an emergency, or at the end of his/her shift when the drop has been accepted into the cage/vault accountability.



### **CURRENCY COUNTING MACHINES**

1. If a currency counting machine is used during the Count process, then a machine test shall be performed each day on each machine before beginning that day's count process. A QTGA Compliance Agent is required to be present during the testing process, which is the following:
  - a. Verify that the counting machine has a zero balance on its terminal unit display panel.
  - b. Visually check the counting machine to be sure there are no bills or promotional coupons remaining in the various compartments of the machine.
  - c. Following the completion of the test procedures, compare the totals from the test receipts of all counting machines to the count performed by two separate count Team Members. If the totals compared are in agreement, the Count Room Supervisor/Lead shall sign and date and record his or her gaming license number on the test receipts and keep on file.
  - d. If the totals do not agree, appropriate repairs shall be made to the counting machine and the testing procedures shall be repeated until all totals are in agreement. The QTGA shall not permit the counting machine to be used until these totals are in agreement.

### **GAMING TABLE DROP BOX PROCESSING**

1. As each Gaming Tables Drop Box is placed on the Count table, one Count Team Member shall orally announce, in a volume of voice to be heard by all persons present and to be recorded by the audio recording device or other recording means, the game, table number, or the asset number marked thereon for the Gaming Tables Drop Boxes.
2. In full view of the Surveillance cameras located in the Count Room, the contents of each Gaming Tables Drop Box shall be emptied onto the Count table into a separate clear bin for processing through the currency counting machine.
3. Immediately after the contents of a Gaming Tables Drop Box are emptied onto the Count table, the inside of the Gaming Tables Drop Box shall be verified by another Count Team Member, or held up to the full view of a Surveillance camera, to assure that all contents of the Gaming Tables Drop Box have been removed. The Gaming Tables Drop Box shall then be locked, reset and placed in an approved storage area.
4. The Count Team member will scan and print a footer ticket for each Gaming Tables Drop Box, and will separate paper forms and currency from the coin and chips. The paper forms will be set aside for reporting purposes, and the currency will be placed in a clear bin with the footer ticket for processing through the currency counting machines. The Count Team Member will

count and record by each denomination the coin, chip and promotional coupon by type. A second Count Team Member will verify this count. The contents of each Gaming Tables Drop Box shall be processed by Count Team Members utilizing a machine to automatically count, sort, and record currency by denomination amounts.

5. As the contents of each Gaming Tables Drop Box are counted, a Count Team Member shall manually record or cause a computer system to record, the following information for the Soft Count Currency Drop Report (pg. 12) or Soft Count Gaming Tables Drop Report (pg. 13) or other supporting documentation by game and table box number:
  - a. The amount of each denomination of currency counted;
  - b. The amount of all denominations of currency counted;
  - c. The amount of coin and/or chips counted;
  - d. The total amount of currency and coin or chips counted;
  - e. The total amount of each denomination of promotional coupons other than match play promotional coupons;
  - f. The total amount of all denominations of promotional coupons other than match play promotional coupons;
  - g. The total amount of each denomination of match play promotional coupons;
  - h. Fifty (50) percent of the total value of all denominations of match play promotional coupons.
6. After the contents of each Gaming Tables Drop Box are counted and recorded, a member of the Count team shall manually record or cause the computer to record on the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report, by game, the total amount of currency, coin, promotional coupons and fills, together with such additional information as may be required on the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report by QTGA or the DCR.
7. If DCR's approved Internal Controls provides for a computerized system whereby all Fills, Credits, and Table Inventory Slips are entered into the computer system at the time of preparation, a Count Team Member shall enter into the computer using IGT-CTA (Cage and Table Accounting System) software the information for comparison and agreement of the totals of the amounts previously recorded or entered to the Fills, Credits, and Table Inventory slips that are removed from the Table Game Drop Boxes.

8. In the event of a manual count due to machine unavailability, each denomination of coin, chip, currency and promotional coupon shall be counted separately by one Count Team Member who shall place individual bills, coins and promotional coupons of the same denomination on the Count table in full view of a Surveillance camera; after which the coin, chips, currency and promotional coupons shall be counted by a second Count Team Member who shall be unaware of the result of the original Count. The second Count Team Member, after completing this second Count, shall confirm the accuracy of the total, either verbally or in writing, with that reached by the first Count Team Member. A record of the count shall be made and both Count Team Members who verified the count will sign with their badge number and name on the form or document used for recording individual box content data for the manual count.

### **EGM PROCESSING**

1. As each EGM Cash Storage Box is placed on the Count table, Count Team Members shall unlock and in full view of the Surveillance cameras located in the Count Room, empty the contents of each EGM Cash Storage Box onto the Count table into a separate clear bin for processing through the currency counting machine.
2. Immediately before the Count Team Member removes the contents of each EGM Cash Storage Box, the barcode representing that EGM Cash Storage Box number will be scanned and a footer ticket will be printed. As the contents of each EGM Cash Storage Box are placed in a clear bin on the Count Table, the footer ticket will be placed behind that box's contents. Immediately after the contents of an EGM Cash Storage Box are emptied into a clear bin on the Count table, the inside of the EGM Cash Storage Box shall be verified by another Count Team Member, and placed in full view of a Surveillance camera, to assure that all contents of the EGM Cash Storage Box have been removed. The EGM Cash Storage Box shall then be locked and placed in an approved storage area.
3. As the contents of each EGM Cash Storage Box are counted, a Count Team Member shall manually record or cause a computer system to record, the following information for the Soft Count Currency Drop Report or other supporting documentation by EGM Cash Storage Box number:
  - a. The amount of each denomination of currency counted;
  - b. The amount of all denominations of currency counted;
  - c. The total amount of each Ticket In Ticket Out (TITO) voucher; and
  - d. The gaming date of the items being recorded and the date the Master Gaming Report is being prepared or generated.

4. The EGM Cash Storage Box Report shall be generated by computer using the data obtained during the machine counting process in the Count Room. (These are commonly referred to as the "Dolphin Report" (pg. 14) and the "Soft Drop Summary Report" (pg. 15-16)). When processed through the MPS machine, a file will generate that ties together each EGM Cash Storage Box currency and/or TITO voucher contents, along with the EGM Cash Storage Box number and the EGM Asset number associated with that EGM Cash Storage Box. The following information on the reports will serve as documentation:
  - a. The asset number of the EGM to which the EGM Cash Storage Box unique identification number corresponds;
  - b. The amount of each denomination of currency counted;
  - c. The amount of all denominations of currency counted;
  - d. The total amount of currency counted for each EGM by denomination;
  - e. The total dollar amount of each denomination of coupon;
  - f. The total dollar value of all denominations of coupons;
  - g. The gaming date of the items being recorded and the total number of all EGM Cash Storage Boxes opened and counted.
5. After preparation of the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report, all Count Team members performing the counting functions shall sign and record his or her gaming license number on the report attesting to the accuracy of the information recorded thereon, and as evidence of their participation in the count. Any Count Team Member performing counting functions who enters or leaves the Count Room prior to the completion of the entire Count process shall also record on the Soft Count Currency Drop Report, or other approved document, his or her gaming license number and the time that he or she exited the Count Room, except that, if the person exiting the Count Room is unable to sign the document due to the nature of the emergency, the Count Room Supervisor shall record the person's name, gaming license number and time of exit and a notation describing the emergency on the document.
6. In the event of a manual count due to machine unavailability, each denomination of coin, chip, currency and promotional coupon shall be counted separately by one Count Team Member who shall place individual bills, coins and promotional coupons of the same denomination on the Count table in full view of a Surveillance camera; after which the coin, chips, currency and promotional coupons shall be counted by a second Count Team Member who shall be unaware of the result of the original Count. The second Count Team member, after completing this second Count, shall confirm the accuracy of the total, either verbally or in writing, with that reached by the first Count Team Member. A record of the count shall be

made and both Count Team Members who verified the count will sign with their badge number and name on the form or document used for recording individual box content data for the manual count.

### **ADDITIONAL SOFT COUNT STANDARDS**

1. Any promotional coupon deposited into a Gaming Tables Drop Box or EGM Cash Storage Box shall be counted and included in the calculation of game win or loss or unit balance.
  - a. Any promotional coupons which have not already been canceled upon acceptance or during the Count shall be canceled prior to the conclusion of the Count by marking on the coupon "void".
2. After the count process is complete:
  - a. All currency and chips shall be presented in the Count Room by a Count Team Member to a Main Bank or Cage Supervisor who, prior to having access to the information recorded on the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report, and in the presence of a Count Team Member, shall recount, either manually or mechanically, the currency and chips presented. After which, they shall sign the report evidencing their presence during the Count and the fact that both the Main Bank or Cage Supervisor and the Count team have agreed on the total amounts of currency and chips. The Count Team may present the Main Bank or Cage Supervisor with the currency and chips from the Count:
    - i. Separately, in which event the currency and chips from each Count shall be presented immediately after the conclusion of the Count; provided, however, that if the currency and chips from the first Count that is concluded are presented while the second Count is in progress:
      1. There shall be no currency and chips in the Count Room removed from an opened box that has not already been counted at least once; and
      2. All Count Room Team Members shall be required to step away from the Count table until the presentation is completed and the currency and chips from each Count are removed from the Count Room.
  - b. DCR's approved Internal Controls does not provide for the forwarding from the cashier's cage of the originals of the Fills, Credits, Request for Credits, and the Requests for Fills, directly to Income Audit. Therefore the originals of all such slips recorded, or to be recorded, on the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report, shall be transported from the Count Room directly to Income Audit by a Count Team Member.

3. In addition to the procedures set forth above for conducting the Count by the Count Team, and the procedures for conducting the recount by a Main Bank or Cage Supervisor, in the event of a variance attributable to intermixed denominations of Cash, an adjustment shall be made to the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report reflecting the amount, type (currency or chip) and source (identified to a Gaming Table or EGM if possible) of such variance.
4. The originals and copies of the Soft Count Currency Drop Report or Soft Count Gaming Tables Drop Report, the documents that evidence Requests for Fills, Fills, Requests for Credits, Credits, Table Inventory Slips and the test receipts from the currency counting equipment shall, on a daily basis in Income Audit be:
  - a. Compared for agreement with each other, on a test basis if the originals are received from the Count Room, by persons with no recording responsibilities and, if applicable, to triplicates or stored data;
  - b. Reviewed for the appropriate number and propriety of signatures on a tests basis;
  - c. Accounted for by series numbers, if applicable;
  - d. Tested for proper calculation, summarization, and recording on a test basis;
  - e. Subsequently recorded; and
  - f. Maintained and controlled by Income Audit as a permanent accounting record.
5. The keys to the locks securing the contents of a Gaming Tables Drop Box or EGM Cash Storage Box shall be maintained and controlled by the Key Watcher system.
  - a. Immediately prior to commencing the counting process, Count Team Members shall sign out the Gaming Tables Drop Box or EGM Cash Storage Box content keys, and the following information shall be logged in:
    - i. Key Number
    - ii. Date & Time of issuance/return of key
    - iii. Name of person obtaining/returning key
  - b. The key(s) shall be returned to the Key Watcher system immediately following the transfer of all currency and other items to the Main Bank. (pg. 17)



Quapaw Tribal Gaming Agency

<input type="checkbox"/>	DCR
<input type="checkbox"/>	Quapaw

Secured Access Request

Date: \_\_\_\_\_ Time: \_\_\_\_\_

Work to be performed:
Name and Badge # for access:

<u>Access Area</u>	<u>Yes</u>	<u>No</u>
Cage		
Poker Cage		
High Limit Cage		
Main Bank		
Pit Access # _____		
Count Room (In progress)		
Count Room (Not in progress)		
Server Room		
IDF # _____		
Surveillance		

Compliance Authorization

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Requesting Department Authorization

Signature: \_\_\_\_\_ Date: \_\_\_\_\_


QTGA Authorization

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## DAILY ROOM ACCESS LOG

[illegible]





# SOFT COUNT - CURRENCY DROP REPORT

ATTACH TAPE:

LOT DROP

TABLE GAMES DROP

TRU KIOSK DROP

OTHER:

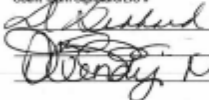
COUNT DATE: 3/12/10

GAMING DATE: 3/11/10

CIRCULAR STAMP  
TRANSFER TIME: 9:19

DENOM	\$100.	\$ 50.	\$ 20.	\$ 10.	\$ 5.	\$ 2.	\$ 1.
BUNDLED	100,000.00		20,000.00				
STRAPPED			8,000.00	100.00	500.00		
LOOSE	3,800.00	2300.00	740.00	50.00	475.00		76.00
OTHER							
TOTAL DROP							
TOTAL REPORTS	103,800.00	2300.00	28,740.00	1050.00	975.00		76.00
VARIANCE							
TICKETS	TOTAL - # OF TICKETS		TOTAL - \$ VALUE				
			136,941.00				

Count Team Signature/LIC #

  
 Wendy M. Huns  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Register Signature/LIC #

Main Bank/LIC #

TO/AUDIT

Income Audit/LIC #

White - Income Audit

Yellow - Main Bank

SP 2007

Page: 6 of 11  
Page: 1 of 3Page 13 of 17

**Dolphin Report**  
**Downstream Casino Resort**

Page

03/10/2010

DropDate	Machine BarCode	Machine Scanned	Floor BillBox	Floor Scanned	New BillBox	New Scanned
03/10/2010	100266	S	102938	S	101734	S
03/10/2010	300074	S	101581	S	104041	S
03/10/2010	490029	S	102124	S	106580	S
03/10/2010	151293	S	104123	S	102313	S
03/10/2010	725017	S	105012	S	105282	S
03/10/2010	550057	S	103402	S	106786	S
03/10/2010	151379	S	105349	S	101352	S
03/10/2010	150602	S	100843	S	102905	S
03/10/2010	550131	S	106402	S	105224	S
03/10/2010	151347	S	104160	S	106652	S
03/10/2010	150596	S	101183	S	103985	S
03/10/2010	151296	S	101381	S	100532	S
03/10/2010	151292	S	103978	S	104062	S
03/10/2010	350074	S	100295	S	103275	S
03/10/2010	350158	S	106461	S	106926	S
03/10/2010	150689	S	100330	S	105390	S
03/10/2010	150970	S	31	K	102219	S
03/10/2010	151299	S	105180	S	103407	S
03/10/2010	151233	S	101989	S	102629	S
03/10/2010	151151	S	103071	S	102286	S
03/10/2010	100344	S	103319	S	105379	S
03/10/2010	450254	S	106491	S	103930	S
03/10/2010	150565	S	106485	S	102854	S
03/10/2010	150027	S	101161	S	100772	S
03/10/2010	150640	S	104054	S	101625	S
03/10/2010	300082	S	105122	S	103910	S
03/10/2010	490033	S	101053	S	105020	S
03/10/2010	151390	S	105275	S	106670	S
03/10/2010	150828	S	100690	S	101197	S
03/10/2010	550106	S	106463	S	106970	S
03/10/2010	150604	S	103522	S	102120	S
03/10/2010	151235	S	106395	S	103801	S
03/10/2010	400061	S	102003	S	106345	S
03/10/2010	150459	S	100822	S	101457	S
03/10/2010	150221	S	103845	S	104068	S
03/10/2010	550136	S	102013	S	106810	S
03/10/2010	150399	S	102234	S	100941	S
03/10/2010	300098	S	103306	S	100261	S
03/10/2010	151138	S	103280	S	100456	S
03/10/2010	100282	S	106560	S	103206	S
03/10/2010	450218	S	103565	S	106451	S
03/10/2010	150383	S	100834	S	100378	S
03/10/2010	150378	S	104118	S	101685	S
03/10/2010	604110	S	102745	S	106409	S
03/10/2010	550160	S	106387	S	100556	S
03/10/2010	151509	S	103534	S	101655	S
03/10/2010	250043	S	101560	S	104869	S
03/10/2010	150621	S	102144	S	102971	S
03/10/2010	450242	S	104955	S	102769	S
03/10/2010	100144	S	103255	S	101759	S
03/10/2010	550075	S	106404	S	106523	S
03/10/2010	151434	S	102079	S	101657	S
03/10/2010	550078	S	106466	S	103880	S

# Example of Soft Drop Summary Report

## Soft Drop Summary Downstream Casino Resort Dropped Period: 03/10/2010

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DropDate	Period	Bar Code	Bill Box	Ones	Twos	Fives	Tens	Twenties	Fifties	Hundreds	Total
03/11/2010	12:33:44PM 3/10/10	100144	103255	26.00	0.00	215.00	30.00	420.00	0.00	500.00	1,191.00
03/11/2010	12:33:47PM 3/10/10	100145	106589	9.00	0.00	80.00	20.00	400.00	0.00	100.00	609.00
03/11/2010	12:33:45PM 3/10/10	100146	105128	12.00	0.00	125.00	60.00	840.00	50.00	200.00	1,287.00
03/11/2010	12:33:45PM 3/10/10	100147	103634	14.00	0.00	145.00	40.00	1,180.00	50.00	800.00	2,229.00
03/11/2010	12:33:45PM 3/10/10	100219	105154	14.00	0.00	295.00	40.00	500.00	0.00	0.00	849.00
03/11/2010	12:33:42PM 3/10/10	100220	100410	10.00	0.00	120.00	30.00	680.00	0.00	200.00	1,040.00
03/11/2010	12:33:43PM 3/10/10	100221	101844	28.00	0.00	245.00	50.00	520.00	50.00	600.00	1,493.00
03/11/2010	12:33:43PM 3/10/10	100242	102169	12.00	0.00	180.00	20.00	360.00	0.00	0.00	572.00
03/11/2010	12:33:44PM 3/10/10	100243	102586	4.00	0.00	90.00	20.00	280.00	50.00	0.00	444.00
03/11/2010	12:33:47PM 3/10/10	100244	106482	33.00	0.00	135.00	80.00	380.00	0.00	0.00	628.00
03/11/2010	12:33:44PM 3/10/10	100245	102636	25.00	0.00	115.00	90.00	240.00	0.00	500.00	970.00
03/11/2010	12:33:42PM 3/10/10	100258	100827	15.00	0.00	155.00	170.00	1,800.00	50.00	1,100.00	3,290.00
03/11/2010	12:33:45PM 3/10/10	100259	103914	5.00	0.00	160.00	170.00	1,620.00	0.00	600.00	2,555.00
03/11/2010	12:33:44PM 3/10/10	100262	103483	31.00	0.00	340.00	90.00	1,640.00	150.00	1,300.00	3,551.00
03/11/2010	12:33:43PM 3/10/10	100263	101808	33.00	0.00	225.00	140.00	1,360.00	0.00	1,400.00	3,158.00
03/11/2010	12:33:43PM 3/10/10	100264	102288	40.00	0.00	215.00	60.00	1,620.00	50.00	900.00	2,885.00
03/11/2010	12:33:47PM 3/10/10	100265	106915	110.00	0.00	190.00	110.00	1,640.00	150.00	1,300.00	3,500.00
03/11/2010	12:33:44PM 3/10/10	100266	102958	43.00	0.00	185.00	90.00	1,640.00	50.00	1,100.00	3,108.00
03/11/2010	12:33:43PM 3/10/10	100267	101910	94.00	0.00	280.00	50.00	1,140.00	50.00	1,100.00	2,714.00
03/11/2010	12:33:45PM 3/10/10	100268	104212	49.00	0.00	155.00	50.00	920.00	100.00	200.00	1,474.00
03/11/2010	12:33:42PM 3/10/10	100269	101302	45.00	0.00	295.00	130.00	1,320.00	100.00	600.00	2,490.00
03/11/2010	12:33:47PM 3/10/10	100270	106913	25.00	0.00	280.00	220.00	640.00	0.00	100.00	1,265.00
03/11/2010	12:33:43PM 3/10/10	100271	101959	5.00	0.00	205.00	130.00	640.00	0.00	200.00	1,180.00
03/11/2010	12:33:41PM 3/10/10	100272	100189	18.00	0.00	205.00	90.00	960.00	0.00	200.00	1,473.00
03/11/2010	12:33:47PM 3/10/10	100273	106586	27.00	0.00	275.00	110.00	1,240.00	0.00	900.00	2,552.00
03/11/2010	12:33:44PM 3/10/10	100274	102599	26.00	0.00	420.00	90.00	740.00	50.00	1,100.00	2,426.00
03/11/2010	12:33:46PM 3/10/10	100275	106443	9.00	0.00	500.00	20.00	820.00	0.00	600.00	1,949.00
03/11/2010	12:33:45PM 3/10/10	100276	104959	27.00	0.00	85.00	40.00	200.00	0.00	100.00	452.00
03/11/2010	12:33:44PM 3/10/10	100277	103222	42.00	0.00	190.00	10.00	320.00	0.00	400.00	962.00
03/11/2010	12:33:42PM 3/10/10	100278	100249	6.00	0.00	95.00	50.00	200.00	0.00	600.00	951.00
03/11/2010	12:33:45PM 3/10/10	100280	105165	25.00	0.00	180.00	30.00	460.00	0.00	500.00	1,195.00
03/11/2010	12:33:46PM 3/10/10	100281	106447	5.00	0.00	115.00	40.00	400.00	0.00	200.00	760.00
03/11/2010	12:33:47PM 3/10/10	100282	106560	8.00	0.00	135.00	0.00	40.00	0.00	0.00	183.00
03/11/2010	12:33:44PM 3/10/10	100286	102851	16.00	0.00	250.00	10.00	740.00	0.00	900.00	1,916.00
03/11/2010	12:33:45PM 3/10/10	100287	104957	29.00	0.00	135.00	20.00	740.00	50.00	500.00	1,474.00
03/11/2010	12:33:46PM 3/10/10	100288	105244	16.00	0.00	80.00	50.00	480.00	0.00	200.00	826.00
03/11/2010	12:33:45PM 3/10/10	100289	103642	9.00	0.00	30.00	30.00	140.00	0.00	0.00	209.00
03/11/2010	12:33:45PM 3/10/10	100292	105148	27.00	0.00	110.00	50.00	460.00	0.00	100.00	747.00
03/11/2010	12:33:45PM 3/10/10	100294	103705	25.00	0.00	280.00	90.00	880.00	0.00	1,000.00	2,275.00
03/11/2010	12:33:43PM 3/10/10	100296	101906	7.00	0.00	75.00	10.00	280.00	0.00	0.00	372.00
03/11/2010	12:33:45PM 3/10/10	100297	103920	27.00	0.00	100.00	40.00	280.00	0.00	200.00	647.00
03/11/2010	12:33:42PM 3/10/10	100298	100721	10.00	0.00	150.00	40.00	460.00	250.00	400.00	1,310.00
03/11/2010	12:33:42PM 3/10/10	100300	100254	2.00	0.00	90.00	30.00	480.00	0.00	200.00	802.00
03/11/2010	12:33:47PM 3/10/10	100301	106541	13.00	0.00	75.00	20.00	680.00	0.00	400.00	1,188.00
03/11/2010	12:33:46PM 3/10/10	100305	105285	33.00	0.00	340.00	200.00	1,260.00	50.00	900.00	2,783.00
03/11/2010	12:33:43PM 3/10/10	100306	102059	25.00	0.00	255.00	380.00	900.00	0.00	300.00	2,060.00
03/11/2010	12:33:42PM 3/10/10	100307	100709	9.00	0.00	140.00	130.00	740.00	100.00	900.00	2,019.00
03/11/2010	12:33:45PM 3/10/10	100309	103618	35.00	0.00	150.00	70.00	680.00	0.00	900.00	1,835.00
03/11/2010	12:33:43PM 3/10/10	100310	101497	27.00	0.00	145.00	60.00	1,800.00	50.00	1,800.00	3,882.00
03/11/2010	12:33:43PM 3/10/10	100311	101952	9.00	0.00	65.00	10.00	1,880.00	50.00	900.00	2,914.00
03/11/2010	12:33:45PM 3/10/10	100312	105133	13.00	0.00	175.00	50.00	1,540.00	100.00	1,200.00	3,078.00
03/11/2010	12:33:44PM 3/10/10	100313	103400	16.00	0.00	135.00	150.00	980.00	150.00	1,200.00	2,631.00
03/11/2010	12:33:45PM 3/10/10	100314	103993	31.00	0.00	245.00	120.00	2,600.00	150.00	1,300.00	4,446.00
03/11/2010	12:33:45PM 3/10/10	100315	103657	58.00	0.00	300.00	90.00	1,420.00	100.00	1,600.00	2,968.00
03/11/2010	12:33:46PM 3/10/10	100316	105182	19.00	0.00	80.00	50.00	580.00	50.00	900.00	1,679.00
03/11/2010	12:33:46PM 3/10/10	100317	106445	23.00	0.00	110.00	90.00	860.00	0.00	400.00	1,483.00
03/11/2010	12:33:44PM 3/10/10	100318	103085	32.00	0.00	75.00	40.00	1,160.00	50.00	1,000.00	2,357.00
03/11/2010	12:33:45PM 3/10/10	100319	104046	32.00	0.00	155.00	110.00	1,520.00	200.00	2,200.00	4,217.00
03/11/2010	12:33:44PM 3/10/10	100322	103575	16.00	0.00	160.00	50.00	340.00	0.00	400.00	966.00

Pg. 2 of Soft Drop Summary Report

p Summary Stream Casino Resort Report Period: 03/10/2010											
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DropDate	Period	Bar Code	Bill Box	Ones	Twos	Fives	Tens	Twenties	Fifties	Hundreds	Total
03/11/2010	12:33:46PM 3/10/10	725021	105259	1.00	0.00	10.00	0.00	320.00	0.00	2,800.00	3,131.00
03/11/2010	12:33:45PM 3/10/10	725022	104125	0.00	0.00	20.00	0.00	200.00	0.00	1,600.00	1,820.00
03/11/2010	12:33:46PM 3/10/10	809003	105216	0.00	0.00	0.00	0.00	0.00	0.00	800.00	800.00
03/11/2010	12:33:43PM 3/10/10	809004	101854	2.00	0.00	10.00	0.00	240.00	100.00	4,500.00	4,852.00
03/11/2010	12:33:46PM 3/10/10	809005	106426	0.00	0.00	5.00	10.00	540.00	50.00	5,500.00	6,105.00
03/11/2010	12:33:43PM 3/10/10	809006	101692	0.00	0.00	0.00	0.00	0.00	0.00	900.00	900.00
03/11/2010	12:33:47PM 3/10/10	809007	106961	0.00	0.00	5.00	0.00	80.00	0.00	1,400.00	1,485.00
03/11/2010	12:33:47PM 3/10/10	809008	106941	0.00	0.00	0.00	0.00	220.00	0.00	1,400.00	1,620.00
03/11/2010	12:33:43PM 3/10/10	802013	102358	1.00	0.00	15.00	10.00	420.00	0.00	600.00	1,046.00
03/11/2010	12:33:42PM 3/10/10	802014	100905	1.00	0.00	35.00	0.00	1,020.00	0.00	1,300.00	2,356.00
03/11/2010	12:33:47PM 3/10/10	802015	106944	3.00	0.00	80.00	10.00	1,860.00	0.00	1,500.00	3,453.00
03/11/2010	12:33:47PM 3/10/10	802016	106833	7.00	0.00	15.00	10.00	700.00	0.00	700.00	1,432.00
03/11/2010	12:33:45PM 3/10/10	802017	103707	2.00	0.00	45.00	10.00	820.00	0.00	500.00	1,377.00
03/11/2010	12:33:46PM 3/10/10	802018	105297	1.00	0.00	10.00	30.00	600.00	0.00	1,300.00	1,941.00
03/11/2010	12:33:43PM 3/10/10	802019	102070	8.00	0.00	70.00	20.00	740.00	50.00	600.00	1,488.00
03/11/2010	12:33:46PM 3/10/10	802020	106421	10.00	0.00	35.00	10.00	440.00	50.00	600.00	1,145.00
03/11/2010	12:33:46PM 3/10/10	802021	106418	0.00	0.00	10.00	10.00	240.00	0.00	200.00	460.00
03/11/2010	12:33:42PM 3/10/10	802022	101145	2.00	0.00	40.00	30.00	660.00	100.00	2,000.00	2,832.00
03/11/2010	12:33:44PM 3/10/10	802023	102976	1.00	0.00	45.00	20.00	2,240.00	0.00	3,200.00	5,506.00
03/11/2010	12:33:47PM 3/10/10	802024	106500	4.00	0.00	30.00	0.00	320.00	50.00	700.00	1,104.00
03/11/2010	12:33:47PM 3/10/10	802025	106788	1.00	0.00	15.00	0.00	880.00	50.00	700.00	1,646.00
03/11/2010	12:33:43PM 3/10/10	802026	101523	0.00	0.00	35.00	10.00	940.00	50.00	2,300.00	3,335.00
03/11/2010	12:33:46PM 3/10/10	802027	105191	3.00	0.00	45.00	30.00	540.00	0.00	1,700.00	2,318.00
03/11/2010	12:33:47PM 3/10/10	802028	106841	3.00	0.00	10.00	20.00	1,160.00	0.00	2,200.00	3,393.00
03/11/2010	12:33:46PM 3/10/10	802029	105311	6.00	0.00	35.00	10.00	680.00	0.00	1,100.00	1,831.00
03/11/2010	12:33:47PM 3/10/10	802030	106784	4.00	0.00	10.00	10.00	820.00	200.00	600.00	1,644.00
03/11/2010	12:33:46PM 3/10/10	802031	106352	0.00	0.00	10.00	10.00	820.00	0.00	800.00	1,640.00
03/11/2010	12:33:45PM 3/10/10	802032	105065	1.00	0.00	65.00	40.00	900.00	0.00	0.00	1,006.00
03/11/2010	12:33:47PM 3/10/10	802033	106957	4.00	0.00	25.00	30.00	760.00	0.00	1,100.00	1,919.00
03/11/2010	12:33:46PM 3/10/10	802034	106355	2.00	0.00	5.00	0.00	860.00	0.00	1,100.00	1,967.00
03/11/2010	12:33:46PM 3/10/10	802035	105337	0.00	0.00	10.00	10.00	780.00	50.00	800.00	1,650.00
Grand Total:		750		9,636.00	2.00	82,760.00	30,798.00	417,680.00	17,250.00	395,400.00	953,518.00

Orphan Machines

Machine Bar Code	Machine Scanned	Floor Bill Box	Floor Scanned	New Bill Box	New Scanned	Drop Date
490039	S	102758	S	105058	S	03/10/2010
151514	S	28 K		100687	S	03/10/2010

Count of Orphan Machines ( 2 )

Example of KeyWatcher System report identifying key number, date of issuance, return of key, person obtaining/returning key

**AUDIT KEY TRANSACTIONS REPORT**

Horse Watchman Inc.

DATABASE NAME: Cage(006504)

CREATED BY: IAUDIT  
Report Date/Time: 03/12/2010 10:41:34

TRANSACTION DATE: 03/11/2010-03/12/2010  
TRANSACTION TIME: 06:00:00 AM-05:59:59 AM  
TRANSACTION DOW: SUN, MON, TUE, WED, THU, FRI, SAT  
DAILY TIME FILTER: NONE  
USER(s): ALL  
KEY(s): ALL

Key No.: 2 (PullTeam MD/BV)

DATE & TIME OUT	BY USER	DATE & TIME IN	BY USER
03/11/2010 06:49	Gilpin, Dustin	03/11/2010 06:00	Fuhs, Wendy
03/12/2010 04:06	Fuhs, Wendy	03/11/2010 08:34	Reynolds, Lenore
		03/12/2010 05:46	Fuhs, Wendy

Key No.: 3 (Pull Team MD/BV)

DATE & TIME OUT	BY USER	DATE & TIME IN	BY USER
03/11/2010 06:49	Giles, Rachel	03/11/2010 06:00	Giles, Rachel
03/12/2010 04:05	Chapa, Kayla	03/11/2010 08:34	Reynolds, Lenore

Key No.: 4 (Pull Team MD/BV)

DATE & TIME OUT	BY USER	DATE & TIME IN	BY USER
03/11/2010 08:15	Braker, Trey	03/11/2010 06:00	Tupper, Jon
03/12/2010 04:05	Tupper, Jon	03/11/2010 08:27	Braker, Trey
		03/12/2010 05:46	Fuhs, Wendy

Key No.: 7 (CntTeam Box Cont)

DATE & TIME OUT	BY USER	DATE & TIME IN	BY USER
03/11/2010 10:01	Fuhs, Wendy	03/11/2010 12:24	Tupper, Jon

Key No.: 8 (CntTeam Box Cont)

DATE & TIME OUT	BY USER	DATE & TIME IN	BY USER
03/11/2010 10:01	Hubbard, Deborah	03/11/2010 12:24	Tupper, Jon

Key No.: 9 (CntTeam Box Cont)

DATE & TIME OUT	BY USER	DATE & TIME IN	BY USER
03/11/2010 09:24	Giles, Rachel	03/11/2010 12:24	Tupper, Jon

<b>TABLE GAMES - CARDS</b>	<b>Policy No:</b> 1100.12.01	<b>Issue Date:</b> 6/1/2008 <b>Revised Date:</b> 02/15/2010
<b>PURPOSE:</b> To establish procedures for receiving, storing, using, drilling, shredding, and changing used cards for Table Games.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	06/01/2008
Compliance Revisions Made	02/15/2010
QTGA Submission	02/18/2010
QTGA Final Approval	03/11/2010
GM Approval	02/19/2010
DDA Final Approval	3/31/2010

## POLICY

The Minimum Internal Control Standards (MICS), which are provided in the Code of Federal Regulations Part 542 of Title 25 “Indians” identified the minimum standards for playing cards. Those standards are:

1. Playing cards shall be maintained in a secure location to prevent unauthorized access and to reduce the possibility of tampering.
2. Used cards shall be maintained in a secure location until marked, scored, or destroyed, in a manner as approved by the Tribal gaming regulatory authority, to prevent unauthorized access and reduce the possibility of tampering.
3. The Tribal gaming regulatory authority shall establish and the gaming operation shall comply with a reasonable time period, which shall not exceed seven days within which to mark, cancel, or destroy cards from play.
4. A card control log shall be maintained that documents when cards are received on site, distributed to and returned from tables and removed from play by the gaming operation.

## **PROCEDURES**

### **Receipt of Playing Cards**

1. All playing cards shall be ordered from Gaming Vendors that are licensed by the Quapaw Tribal Gaming Agency (QTGA).
2. Orders for playing cards must be transmitted by Purchasing personnel only.
3. Copy of the Purchase Order shall be transmitted to Table Games and Income Audit.
4. Shipments of playing cards from the licensed Vendor shall be under seal from the time the shipment leaves the Vendor's facility until the shipping seal is broken by Downstream Casino Resort (DCR) authorized Team Members.
5. Representatives from the following departments shall be present to receive a shipment of Playing Cards:
  - a. Table Games;
  - b. Security;
  - c. Income Audit; and
  - d. QTGA Compliance Agent.
6. Tables Games personnel will notify Surveillance, QTGA, Security, and Income Audit of incoming playing card shipments.
7. Once the shipment arrives, it will be transported directly to the secure card storage area.
8. The seal shall be broke once the shipment is delivered to the secure card storage area and only when all required departments are present.
9. After breaking the seal, the shipment will be inventoried.
10. Income Audit personnel shall prepare a Card Accountability Verification Form (pg. 11) that denotes the following:
  - a. Date and Time of deliver;
  - b. Number of decks, by color or type; and
  - c. Number of cards expected, number verified, and variance between the two if applicable.



11. Table Games, Security, Income Audit and QTGA will sign the receiving document attesting to the accuracy of items received.
12. Income Audit will retain the original, duplicate copy to Table Games and triplicate copy to QTGA.
13. In the event the seal is broken prior to arrival or the shipment is incomplete in some manner, Table Games shall immediately notify the Vendor to resolve the discrepancy.
14. Under no circumstance shall Playing Cards be received if the seal is broken prior to arrival.
15. After the shipment has been inventoried, the playing cards shall be added in to the room inventory by color.

#### **Inventory of Playing Cards**

1. Playing cards shall be maintained in a secure location to prevent unauthorized access and to reduce the possibility of tampering.
2. The secured storage area shall be controlled by two locks:
  - a. One controlled by the Table Games
    - i. Only a Table Games Shift Manager or above is authorized to sign out the key to the secured storage area.
  - b. One controlled by the Security Department
    - i. Only a Security Supervisor or above shall be authorized to sign out the key to the secured storage area.
3. Table Games personnel shall count all decks of playing cards in the secure storage area at least daily.
4. Income Audit will audit the inventory balance on a monthly basis.
  - a. Income Audit shall reconcile all discrepancies and notify QTGA if a discrepancy exists.
  - b. Income Audit will maintain the daily inventory that may be verified at any time.
5. Immediately prior to the commencement of each gaming day and at other times as may be necessary, a Shift Manager or above from the Table Games Department, in the presence of a QTGA Compliance Agent and security officer, shall remove the appropriate number of decks of cards for that gaming day from the card vault room.

6. If removed from the card vault room, a Table Games Shift Manager or designee, QTGA Compliance Agent and the security officer who removed the decks shall distribute sufficient decks to a Pit Boss who shall then distribute the decks to the Dealer at each Gaming Table.
7. Prior to their use at a Gaming Table, all decks shall be inspected by the Dealer, with such inspection verified by a floorperson. Card inspection at the Gaming Table shall require each deck to be used at that table to be sorted into new deck sequence, by suit, to assure that all cards are in the deck. The Dealer shall also check the back of each card to assure that it is the same color as the other cards in the deck and is not flawed, scratched or marked in any way.
  - a. If, after checking the cards, the Dealer finds that a card is unsuitable for use, a Table Games Shift Manager or designee shall immediately notify the QTGA and replace the deck with a new one from the Pit stand.
  - b. The unsuitable deck shall be placed in a clear sealed envelope, bag or container, identified by table number, date, and time and shall be signed by the Dealer and Table Games Shift Manager or designee assigned to that table. The Table Games Shift Manager or designee shall either maintain the envelope, bag or container in a locked compartment within the Pit stand until collection by a security officer or shall turn the sealed envelope, bag or container over to a QTGA Compliance Agent if so directed.
8. All envelopes, bags and containers used to hold or transport cards collected by security shall be transparent.
  - a. The envelopes, bags or containers and the method used to seal them shall be designed and constructed so that any tampering shall be evident.
  - b. The envelopes, bags or containers and seals shall be approved in writing by the QTGA.
9. Any decks which have been opened and placed on a Gaming Table for use in a multi-deck dealing shoe shall be changed at least every twenty-four (24) hours. In addition:
  - a. Cards opened for use on a minibaccarat table shall be changed once during the gaming day, or more frequently if warranted upon the direction of the QTGA;
  - b. Cards opened for use on any card game authorized by the Tribal State Compact that permits players to handle the cards and which are dealt from a dealing shoe shall be changed at least every four (4) hours; and
  - c. Cards opened for use on any card game and dealt from the Dealer's hand shall be changed at least every two (2) hours.

10. Cards damaged during the course of play shall be replaced by the Dealer who shall request the Table Games Shift Manager or designee to replace the deck or decks with a new deck or decks from a locked compartment in the Pit stand.
  - a. The damaged cards shall be placed in a clear sealed envelope; bag identified by table number, date and time and shall be signed by the Dealer and the individual who brought the replacement card to the table.
  - b. The Table Games Shift Manager shall maintain the envelopes, bags or containers in a locked compartment within the Pit stand until collection by a security officer, and a QTGA Compliance Agent.
11. At the end of each gaming day or, in the alternative, at least once each gaming day at the same time each day, as designated by DCR and approved in writing by the QTGA, and at such other times as may be necessary or if so directed by a QTGA Compliance Agent, the Table Games Shift Manager or designee shall collect all used decks.
  - a. These decks shall be placed in a clear sealed envelope, bag or container. A label shall be attached to each envelope, bag or container which shall identify the table number, date and time and shall be signed by the Dealer and floorperson assigned to the table.
  - b. The Table Games Supervisor shall maintain the envelopes, bags or containers in a locked compartment within the Pit stand until collection by a security officer or a QTGA Compliance Agent.
12. The Table Games Shift Manager or designee shall remove any decks at any time during the day if there is any indication of tampering, flaws, scratches, marks or other defects to a card or cards that might affect the integrity or fairness of the game, or at the direction of the QTGA.
13. All extra decks in card reserve with broken seals shall be placed in a clear sealed envelope, bag or container, with a label attached to each envelope or container identifying the date and time, which and is signed by the Pit Boss.
14. At the end of each gaming day or, in the alternative, at least once each gaming day at the same time each day, as designated by DCR and approved in writing by the QTGA, and at such other times as may be necessary, a security officer shall collect and sign all envelopes, bags or containers with damaged cards, cards used during the gaming day, and all extra decks in card reserve with broken outer wrappings or seals and shall return the envelopes, bags or containers to the QTGA approved card cancellation and destruction area.
15. At the end of each gaming day or, in the alternative, at least once each gaming day at the same time each day, as designated by DCR and approved in writing by the QTGA, and at such other times as may be necessary, the Table Games Shift Manager or designee may collect all extra decks held in card reserve in a locked compartment in the Pit stand. If collected, all sealed decks

shall either be transported by a security officer to the approved card cancellation and destruction area or returned to the cashier's cage or a primary or secondary card storage area.

16. The envelopes, bags or containers of used cards and reserve cards with broken outer wrappings or seals are transported by a security officer to the approved card cancellation and destruction area.
17. The Table Games Department shall also inspect:
  - a. Any cards which QTGA requests DCR to remove for the purpose of inspection;
  - b. Any cards DCR removed for indication of tampering; and
  - c. All cards used for Pai Gow poker, Caribbean Stud poker, Let it Ride poker and any other card game required, in writing, by the QTGA.
18. The procedures for inspecting all decks required to be inspected under this paragraph shall, at a minimum, include:
  - a. The sorting of the cards sequentially by suit into new deck order;
  - b. The inspection of the backs with an ultraviolet light;
  - c. The inspection of the sides of the cards for crimps, bends, cuts and shaving;
  - d. The inspection of the front and back of all plastic cards for consistent shading and coloring; and
  - e. Any other test required by QTGA.
19. The individuals performing said inspection shall complete a work order form which shall detail the procedures performed and list the tables from which the cards were removed and the results of the inspection. The individual shall sign the form upon completion of the inspection procedures.
20. DCR shall submit the training procedures for those Team Members performing the inspection, which shall be approved in writing by the QTGA;
21. Evidence of tampering, marks, alterations, missing or additional cards or anything that might indicate unfair play discovered at this time, or at any other time, shall be immediately reported to the QTGA, by the completion and delivery of a Card Discrepancy Report (pg. XX) by a security officer.
  - a. The report shall accompany the cards when delivered to the QTGA.



- b. The cards shall be retained for investigation by the QTGA.
  - c. The QTGA personnel receiving the cards shall sign the Card Discrepancy Report, secure and retain the original. An additional copy shall be retained by DCR.
22. DCR will control the card inventory through the use of a Card Inventory Control Log which at a minimum will include the following:
- a. The total number of decks of cards on hand;
  - b. The total number of decks of cards removed from storage;
  - c. The total number of decks of cards returned to storage or received from the manufacturer;
  - d. The date of the transaction;
  - e. The name, signatures and gaming license numbers of the Team Members involved;
  - f. A reconciliation of the Table Games Shift Manager or above on a daily basis of the following:
    - i. Total number of decks of cards distributed;
    - ii. Total number of decks of cards destroyed and canceled;
    - iii. Total number of decks of cards returned to the card vault room; and
    - iv. Total number of decks of cards in card reserve.
  - g. A physical inventory of the cards at least once every three (3) months conducted by Income Audit.
    - i. This inventory shall be verified to the total number of decks of cards on hand required in subparagraph (o)(1) above.
    - ii. Any discrepancies shall be immediately reported to the QTGA.
23. Where decks of cards in an envelope, bag or container are inspected and found to be without any indication of tampering marks, alterations, missing or additional cards or anything that might indicate unfair play, those cards, shall, within seven (7) days and no less than forty eight (48) hours after collection, be destroyed or canceled. All decks of cards released by the QTGA shall be immediately destroyed or canceled.

### **Card Drilling**

1. The destruction and cancellation of cards shall take place in the approved card cancellation and destruction area, the location and physical characteristics of which shall be approved in writing by the QTGA.
2. Table Games Shift Manager/Designee will notify Security, Surveillance and QTGA of a need to drill cards.
3. Table Games Manager/Designee will remove the drill press from the Card Destruction room with Security and QTGA present and Surveillance observing.
4. Table Games Manager/Designee will remove no more than 500 used decks (excluding decks being stored for 72 hours) from the Card Destruction room. Said quantities of cards will be logged in the Card Destruction log book as "number of decks destroyed." Table Games Manager/Designee and Security will sign the log and date it, attesting to its accuracy.
5. All decks of used cards taken from the Card Destruction room will be removed from their sealed bags and a circular hole of at least one-quarter of an inch in diameter will be drilled completely through the box and all cards enclosed. The empty bags will be placed back in the card destruction room for future shredding. QTGA and Security will monitor this process.
6. The drill press will be returned to the Card Destruction room for safe keeping.

### **Card Shredding**

1. Upon notification that the Shredding staff has arrived, Security will notify QTGA and the Table Games Shift Manager to meet at the card vault room to retrieve the card cart.
2. The Sensitive key for the card vault room will be signed out.
3. Surveillance will grant permission to enter the card vault room.
4. The empty card cart will be taken to the card destruction room.
5. Surveillance will grant permission to enter the destruction room.
6. The total number of used cards to be taken to the designated shredding area will be logged.
7. Upon permission from Surveillance, the card cart with the used cards will be escorted by Security, QTGA and the Table Games Shift Manager from the destruction room to the designated area for destruction.
8. Security, QTGA and the Table Games Shift Manager will witness all destruction of the used cards.

### **Daily Card Change**

1. The Table Games Shift Manager or designee will contact Security and QTGA to inform them that the card pickup and delivery is ready to begin.
2. The Table Games Shift Manager or designee along with a Security guard will retrieve the sensitive keys from the key control box.
3. Security will contact Surveillance to notify them that QTGA, Security and the Table Games Shift Manager or designee is going to enter the card vault room.
4. After entering the card vault room, the Table Games Shift Manager or designee will retrieve the Table Game card cart for card pickup from the Pits.
5. The Table Games Shift Manager or designee will take the Table Games card cart to Pit 1. The security guard will radio surveillance and let them know that the Card pickup is ready to begin in Pit 1.
6. The Table Games Shift Manager or designee will go into Pit 1 and pick up any used cards and unused cards from the previous day.
7. The Table Games Shift Manager or designee will record in the Card Book under the color being used for the day the number of used decks being sent to the destruction room for future destruction.
8. The Table Games Shift Manager or designee will repeat process 5, 6 and 7 until all Pits have been serviced.
9. Security will radio surveillance and let them know that the used cards pickup is complete and that the pickup team is going to the destruction room to deliver the used cards.
10. The Table Games Shift Manager or designee will enter the destruction room along with security and QTGA.
11. The Table Games Shift Manager or designee will place the used cards in the destruction room for at least 72 hours before they will be set up for destruction.
12. The Table Games Shift Manager or designee will record in the destruction room card log book the number of decks placed in the destruction room and designated for destruction.
13. The Table Games Shift Manager or designee will then proceed to the card vault room.
14. The Table Games Shift Manager or designee will contact surveillance for permission to enter the card vault room.

15. The Table Games Shift Manager or designee will record in the card vault log book the number of unused decks being returned for the day.
16. The Table Games Shift Manager or designee will then load the card cart with the appropriate number of new decks to be distributed for the day.
17. The number of new decks will be noted in the card vault log book.
18. The Security guard will contact surveillance to let them know that new card delivery will be starting in Pit 1.
19. The Table Games Shift Manager or designee along with Security and QTGA will take the card cart to Pit 1 and distribute the assigned amount of cards to Pit 1.
20. The Table Games Shift Manager or designee will record the number of cards distributed to the Pit in the card log book, which is located in the Pit.
21. The Table Games Shift Manager or designee will repeat process 18, 19 and 20 until all Pits have been serviced.
22. The Table Games Shift Manager or designee along with Security and QTGA will then return the card cart to the card vault room.
23. The Table Games Shift Manager or designee along with Security will return the card vault key to the key control box.
24. The Daily Card Change shall occur during the Graveyard shift and cards can be checked on a closed game.
25. When the new cards are checked on a closed game, the Dealer and Table Games Shift Manager will visually inspect the front and backs of all cards for imperfections and to ensure that all cards are present. Once checked, the cards can be placed on a live game for the shuffle process.



### Card Accountability Verification Form

Date \_\_\_\_\_

Time \_\_\_\_\_

Card Accountability form

Type	Expected #	Verified #	Variance
Total			

### Card Accountability Form

	Expected #	Verified #	Variance
Total			

Income Audit must attach copies of each packing slip.

Income Audit Name/Lic #

Security Name/Lic #

TGA Name/Lic #

Table Games Name/Lic #

Warehouse Name/ Lic #