

Downstream Authority of the Quapaw Tribe of Oklahoma Regular Meeting
July 7, 2010

Meeting Called to Order: 1:10 pm

ROLL CALL:	John Berrey, Chairman	Present
	Vice-Chairman	Vacant
	Larry Ramsey, Secretary	Present
	Ranny McWatters, Treasurer	Present
	Marilyn Rogers, Member	Present

DECLARATION OF QUORUM: announced by Larry Ramsey

Steve Drewes, Dave Bren, Jack Brill

Hotel Channel Review

Review of hotel channel guide, general discussion. Marketing will get with Videoworkers about requested changes

General Manager Updates

Policies

- See attached
- 1400.34.01 – Processing Cage Cashier Tokens Through the Main Bank

Motion by DDA Secretary Larry Ramsey to approve policy. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

- 1400.40.01 – Processing Payroll Checks

Motion by DDA member Marilyn Rogers to approve policy. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

- 1400.56.01 – Entering and Leaving the Mantrap Area of the Cage

Motion by DDA Member Marilyn Rogers to approve policy. Seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

- 1400.21.01 – Personal Checks-Credit Cards-Money Orders-Travelers Checks-Cashiers-Official checks

Motion by DDA Secretary Larry Ramsey to approve policy. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

- 1400.08.01 – Cage Cashier Count Out Process

Motion by DDA Treasurer Ranny McWatters to approve policy. Seconded by DDA Member Marilyn Rogers. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

- 1400.48.02 – Emergency Drop Procedures

Motion by DDA Member Marilyn Rogers to approve policy. Seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

Meeting with KC Chiefs next week – Ernie D, Shelly, and Steve to review possible suite package for the season. Partnership with NASCAR, Sept 25 is NASCAR weekend at Downstream.

- Table Games meeting (Floor Supervisors)
 - General discussion
 - Hire full time floors to reduce the number of dual rates
 - Dealers will contribute \$.25 and hour to a pool for floor sups, Downstream will match.
 - Cost to DCR is approx \$53,000 a year
 - Cost to TG dealer pool is \$850 a week
- Executive Development Program
 - November 3-11
 - Reno, NV
 - University of Nevada at Reno
- Finance Org chart changes
 - Proposed changes
 - Finance to report directly to General Manager with a slight pay increase

Consensus of the DDA to approve proposed changes.

Donations:

Habitotes

- See attached
- \$7500

Motion by DDA Member Marilyn Rogers to approve policy. Seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: absent; MR: yes (4 yes, 0 no, 0 abstaining, 0 absent, 1 vacant) Motion Carries.

- Big Brothers Big Sisters of the Ozarks, Taste of the Ozarks Auction – Auction Item, Night stay and dinner for two at Red Oak - APPROVE
- Baxter Springs Fire Department – Golf tournament \$10,000 plus prize packages - DECLINE
- American Payroll Association – event at Downstream, \$500 plus raffle item room and dinner – APPROVE
- Quapaw Tribe – Employee Appreciation Luncheon door prize – concert package; 2 tickets, room, and dinner - APPROVE
- Joplin Humane Society – 2 night (10/22-10/23) room for Kasim Sulton, performer for event – DECLINE
- Cox Health/CMN – silent auction, room and dinner - APPROVE
- Special Olympics Oklahoma (American Airlines Golf Tournament) – prize/auction item, room and dinner – APPROVE
- Bluestem Regional Medical Development Foundation (Bartlesville) dinner and auction – auction item, room and dinner at Red Oak - APPROVE
- Community Support Services of Missouri Golf Tournament – team \$340, hole \$100, prize items (event tickets, meals, rooms), goody bag items - APPROVE
- Joplin Public Library, Adult Summer Reading program – prize, room and dinner – APPROVE
- MSSU, Southern Fest – auction item, rounds of golf DECLINE
- Fundraiser for Kristie Goade – silent auction item, room and dinner. - APPROVE
- Paws in the Park fun run /walk-a-thin and 5K race, Joplin Humane Society – \$2500 (Leader of the Pack) - APPROVE
- Razorback Red Tie Event – silent auction item, red oak and room - APPROVE
- Discovery Center, Festival of Trees - \$50-250, plus auction item room and dinner – DECLINE
- John F. Henry Grab your Balls Memorial Golf Tournament - \$2000, hole sponsor, course sign, name/logo on all marketing and event t-shirt, team of 4, lunch and prizes. - APPROVE
- Paws for the Cause – any monetary donation – DECLINE

- IBC/First State Bank
 - Consensus of the DDA to move forward on refinance.
 - Consolidate BOA Bridge loan and land loans from First State.
 - Free up Quapaw Casino
 - Smaller monthly payments
 - Proposed payment options
 - 48 months
 - 5.2%
 - \$209,000 a month
 - 60 months
 - 5.25%
 - \$175,000 a month for the first year
 - \$167,000 a month for the years 2-3
 - \$140,000 a month for the years 4-5
 - Once agreement is reached will go to Business Committee for final approval.

Adjourn 4:46 pm



Razorback habitotes® Sponsorship Agreement

habitotes® were designed to encourage everyone to utilize reusable bags daily and reduce our dependency on plastic bags. Now Razorback fans can show their team spirit while being environmentally conscious, and you can be a part of this exciting opportunity! We'll be handing out **50,000 of these Hog Wild habitotes® FREE** to fans at Donald W. Reynolds Razorback Stadium before one of the biggest home football games of the year, the **Arkansas vs. Ole Miss game on October 23**. Show thousands of fans you support the Razorbacks and going green by having your logo on the tote!

Become a habitotes® Game-Day Sponsor

Arkansas vs. Ole Miss Game Sponsorship includes:

- Logo on All 50,000 Razorback-Themed habitotes®
- Logo on habitotes® Website and Facebook Page
- Mention in Press Release to All Local Media

To Participate:

Cost: \$7,500 (15¢ per tote)

Make checks payable to: habitotes®

Send to: habitotes®, 3589 N. Shiloh Drive, Suite 3,
Fayetteville, AR 72703

Help the Earth:

- The production of these 50,000 habitotes® removes 250,000 plastic water bottles from the world's waste stream.
- The use of these 50,000 habitotes® just four times will replace 800,000 plastic shopping bags.
- habitotes® are washable and durable. They can last up to 100 times longer than plastic shopping bags and hold 4 times as much.

Send high-resolution logo to mwells@ISPSports.com.
Ask us about free game packages for our sponsors including pre-game hospitality vouchers, tickets and VIP sideline passes.

With your sponsorship, you will receive an additional 100 free habitotes® to distribute to your employees and/or customers.

Date: _____

Point-of-Contact: _____

Email: _____

Phone Number: _____

Sponsor Name: _____

Street Address: _____

City, State, Zip: _____

Please contact us with any questions:

Ryan Gribble, 479.575.6579, RGribble@ISPSports.com

Todd Curtis, 501.837.7802, TCurtis@ISPSports.com

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RAZORBACK SPORTS PROPERTIES



Quapaw Tribal Gaming Agency



Date Received	6/03/10
Comments	
Reviewed By	<i>[Signature]</i> 6/8/10 JB 6/10/10 MLC 6/24/10
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

✓mailed 7/9/10

Policy Name and Number: Cage Cashier Count Out Process Policy #1400.08.01	Department: Cage	Submission Date: 6/3/2010
Narrative Description: To establish policy and procedures for Cage Cashiers to count out an imprest bank. This is a revised version based on QTGA's comments provided to us on 5/27/2010.		DCR/QTGA Tracking:

DCR Compliance Authorization

Signature: Stephanie Balth 2551

Date: 6/2/10

Department Director Authorization

Signature: *[Signature]* 507

Date: 6/2

General Manager Authorization

Signature: *[Signature]*

Date: 6/3/10

QTGA Authorization

Signature: Barbara Collins

Date: 6/24/10

Cage Cashier Count Out Process	Policy No: 1400.08.01	Issue Date: 6/1/2008 Revised Date: 11/27/2009 5/4/2010 5/17/2010
PURPOSE: To establish policies and procedures for Cage Cashiers to count out of an impressed bank.		

DCR Compliance – ITEM Tracking	Date
Issue Date	6/1/2008
QTGA Submission	3/30/2009
QTGA Submission	7/8/2009
QTGA Return	11/6/2009
Compliance Revisions on QTGA Comments	11/27/2009
QTGA Submission	12/2/2009
QTGA Return	12/21/2009
Compliance Review	4/21/2010
QTGA Submission	4/22/2010
QTGA Return	4/29/2010
Compliance Review	5/4/2010
QTGA Submission	5/6/2010
QTGA Return	5/13/2010
Compliance Review	5/17/2010
QTGA Submission	5/20/2010
QTGA Return	5/27/2010
Compliance Review	6/2/2010
QTGA Submission	6/3/2010
QTGA Final Approval	6/24/2010
GM Approval	6/3/2010
DDA Final Approval	7/7/2010

POLICY

1. Cage Cashiers and above operate on the basis of an impressed bank. An impressed bank means that there is a set amount of cash received at the start of a shift and the same amount of an equal value returned at the end of the shift in the form of cash and substitutes for cash of monetary value, based on the transactions they conduct during the shift and to the extent they are issued cash.
2. During the shift, a Cage Cashier or above shall cash personal checks, traveler's checks, payroll checks, E-checks, payout cash advances on credit cards, redeem and complete payouts on E-Z pay tickets from the Electronic Gaming Machines (EGM), cash in chips and exchange for cash. In each case, the total value of the impressed funds remains the same because the transactions that take place are even-valued exchanges, but the composition of the impressed bank will change from one consisting of specific amounts of currency at the start of the shift to one that includes a mix of cashed-out tickets, cashed checks, other monetary instruments, and currency at the end of the shift.
3. As a result, the amount of the impressed fund returned by the Cage Cashier is required to have the same total value as was received at the start of the shift. This facilitates control and accountability over the funds of Downstream Casino Resort (DCR) and establishes responsibility for maintaining the value of the impressed fund for the Cage Cashier or above receiving it.
4. In the presence of the outgoing Cage Cashier, the bank's inventory shall be blind counted, verified and documented on the Computerized Count Sheet, in the Count area of the Cage by a Cage Verifier. A Cage Verifier is defined as the Cage Manager, a Cage Shift Manager, a Cage Supervisor, a Main Bank Cashier or an assigned Cage Cashier. The Cashier records the values into the computerized balancing spreadsheet as the Verifier counts the items. At the end of the count, if there is a difference in the initial impressed amount and the ending totals, the difference is called a variance. A variance may be an overage or a shortage. All variances shall be documented, investigated and, if possible, resolved. Shortages and overages in the count from the initial impressed fund received by a Cage Cashier or above shall follow the Cage Variance policy (Policy #1400.45.01). Disciplinary action may result, up to and including termination of employment.

PROCEDURE

1. At the time that a Cage Cashier window is to be closed, a Cage Supervisor or above will instruct the Cage Cashier to close the window. The Cage Cashier shall place the closed window sign in the window and log off the computer terminal.
2. The Cage Cashier shall take the bank's inventory to the Cage Countdown area in the Cage. The Cage Cashier will log in to a computer terminal located in the Countdown area to balance the Cashier's bank inventory.

3. The Cage Cashier shall do the following with the EZ-Pay tickets:
 - a. Run the bank's EZ-Pay tickets through the counter.
 - b. Print out the ticket tally report that contains the grand total of tickets in piece amount (exact number of tickets) and in dollar amount. (See pg. 9 for a ticket tally report with sample numbers.)
 - c. Make a Cage Supervisor aware that the tickets are ready to be verified (counted).
4. A Cage Supervisor will either hand count each EZ-Pay ticket and run a tape on the value of the tickets or run a group of tickets through the currency counter and compare the total number of tickets and their value to the number listed on the ticket tally report.
 - a. If the totals are correct, the Cage Cashier shall close the EZ-Pay session. Both Cage Cashier and Cage Supervisor must sign with badge number the session closure report attesting to the accuracy of the number of tickets. (See pg. 8 for a copy of the session closure report.)
 - b. If the number of tickets is incorrect, the Cage Supervisor shall investigate as to why the number is incorrect.
 - c. If the dollar amount is incorrect, the Cage Supervisor shall investigate as to why the dollar amount is incorrect.
 - d. Once corrected, the Cage Cashier may close the EZ-Pay session.
 - e. Both Cage Cashier and Cage Supervisor must sign with badge number the Session Closure Report attesting to the accuracy of the number of tickets.
 - f. If the amount cannot be reconciled, the Cage Supervisor shall file a variance report, which is explained later in this policy.
5. The Cage Cashier shall list EZ-Pay ticket session closure total amount on the computerized count out sheet.
6. The Cage Cashier shall run one calculator tape of each type of paper item of monetary value in the bank's inventory and list the totals of each type on the computer count sheet. The types of instruments of monetary value that may be accepted at the Cage and become part of the impressed bank inventory are:
 - a. Coupons
 - b. Gift Cards sold

- c. Gift Cards redeemed
 - d. Found Money receipts
 - e. EZ-Pay tickets without system validation
 - f. Checks - They will be totaled by type. There are several types of checks:
 - i. Travelers checks verified through the Global Check Cashing System
 - ii. Paper checks verified through the Global Check Cashing System
 - iii. E-checks verified through the Global Check Cashing System
 - iv. Credit card checks verified through the Global Check Cashing System
 - v. Downstream Casino checks (issued for Jackpots that a patron may decide to cash)
7. When the Cage Cashier has completed his/her ticket session closure report and run calculator tapes on all monetary instruments, the Cage Cashier shall make the Cage Supervisor aware that the impressed bank is ready to be counted down. The Cage Supervisor will blind count the bank out or assign another verifier to count the bank.
8. The Cage Cashier's bank shall be counted in the presence of the outgoing Cage Cashier. The Cage Verifier shall count and verify the bank's inventory while the Cashier enters the amounts into the computerized count sheet.
- a. Starting with the highest denomination, all currency shall be totaled and listed by denomination on the appropriate line on the computerized count sheet.
 - b. The Cage Verifier shall use the currency counter to verify each strap in the outgoing Cage Cashier's bank. Each strap must be broken and thrown away when it is removed from the currency.
 - c. After the Cage Verifier has verified and re-strapped the currency, the Cage Verifier shall write the date, verifier's initials and badge number on the strap.
 - d. Coins shall be counted and listed on the appropriated lines of the computerized count sheet as rolled or loose coins.
 - e. Chips shall be verified, counted and listed as racked or partial on the appropriate lines of the computerized count sheet.

- f. The Cage Verifier shall verify each full rack by removing one chip and then running a chip down each stack to ensure the rack is full.
 - g. When \$100 and \$500 chips are involved, each stack shall be broken down. Partial stacks shall always be broken down by denomination.
 - h. Once all items in the impressed bank have been verified and entered into the computerized count sheet, the computer will calculate the items.
- 9. The ending inventory should be the same as the opening impressed total. If there is any difference, the result is known as a variance.
- 10. If the totals are the same, the Cage Cashier shall print out the computerized count sheet which contains all items listed, the impressed amount, and the inventory total. The computerized count shall also indicate if the bank is in balance. This print out is also considered a final drop of the Cage Cashier's impressed bank. (pg. 10)
- 11. The Cage Cashier will sign, including badge number, on the "Cashier" line of the count sheet.
- 12. The Verifier will sign, including badge number on the "Supervisor" line or the "Main Bank Verifier" line of the count sheet. Two signatures are required on the count out sheet.
- 13. If the totals are different, the impressed bank shall be recounted. If the difference still cannot be found, a Cage Supervisor or above shall be notified to recount the bank and perform a second verification. If the Verifier is a Cage Supervisor, the Cage Shift Manager or higher shall count the impressed bank and perform the second verification.
- 14. If the discrepancy still cannot be found, there is a variance. A Variance Fact Sheet (pg. 11) shall be completed by the Cage Supervisor or higher. The Variance Fact Sheet is a three part form and contains the following:
 - a. Amount of Variance
 - b. Name and badge number of Cashier
 - c. Date of Variance
 - d. Shift
 - e. Window Location
 - f. Time Worked

- g. Supervisor handling the Variance (Signature and badge number)
 - h. Surveillance notified of unconfirmed variance by whom and time
 - i. Surveillance notified of confirmed variance by whom and time
 - j. Steps taken to find variance
 - k. If known, what was reason for the variance
 - l. Date and type of previous discipline for variances
 - m. Discipline to be issued should variance be confirmed
 - n. Name of person and badge number that a copy of this sheet and all variable supporting documents were personally handed to
 - o. Time and date sent to Surveillance
 - p. Cage Supervisor or higher signature and badge number
 - q. Surveillance Signature and badge number
 - r. Surveillance will respond to the cage within 48 hours from the date and time the variance fact sheet and supporting documents are received
15. The Cage Shift Manager shall be notified of all variances and shall investigate and resolve them or assign another Supervisor to conduct the investigation and resolve them.
16. The Cage Manager shall be notified of all variances.
17. One copy of the variance form and all supporting paperwork shall be placed in the Cage Manager's box for all variances. A second copy of the Variance Fact Sheet shall be provided to the Income Audit Supervisor. A third copy of the Variance Fact Sheet shall be provided to Accounting. For all variances of \$250 or more, a copy of the Variance Fact Sheet and the investigating report shall be provided to the Quapaw Tribal Gaming Agency.
18. Both tapes run on the count out sheet by the Outgoing Cashier and the Cage Verifier shall be attached to the back of the original count sheet.
19. The paperwork accumulated during the Outgoing Cashier's shift shall be stapled to the closing count sheet.

20. The Outgoing Cashier's bank inventory shall be transported to the Main Bank along with the Cashier's paperwork and bank key.
21. The Cage Cashier shall sign the bank key in on the appropriate line and witnessed by a Cage Supervisor or higher.

Example of Session Closure Report

6/24/2009 2:38:56 PM

v1.9.2

***** Session Closer *****

Session #: 008221
Gaming Day: 6/24/2009
User: Joyce Parker
Workstation: cage07
Opened: 6/24/2009 7:35:58 AM
Closed: 6/24/2009 2:38:55 PM
Tran Count: 43

SP153

Paid Total 4,732.15
Unverified Total 0.00

Session Paid Total 4,732.15

Issued Total 0.00
Void Issued Total 0.00

Session Issued Total 0.00

Net Paid Out 4,732.15

Close Override Amt:

Paid Var: 0.00
Issued Var: 0.00
Void Issued Var: 0.00

0.00

Example of Ticket Tally Report

6/24/2009 2:39:02 PM
v1.9.2

Tally Report

007585112069682841	2.60
004062369646981891	0.03
005056450155993820	15.50
001259506240825264	16.70
002341787649799440	38.75
006957020505311320	40.98
004300598745605169	110.00
000422492242178432	6.00
001447456991968810	12.10
008604028951466437	10.25
000619627415392267	0.11
007474738441264617	7.00
008717191809553792	5.00
001584476500416554	10.00
000600836785908057	5.00
009414133714199344	15.16
002814961245636525	70.07
000474034350958243	43.89
007395869243189001	30.19
008704225466700267	88.25
003404744794385607	73.90
005638849810591806	30.02
006776400402298455	10.07
002555622111743464	10.01
008466881181843986	30.15
006010385674920570	15.00
006989502524440027	13.85
003348077671907140	20.00
006482327749766879	1,590.00
008113688267676327	26.80
004506471909915911	5.28
006212164252062880	70.00
007014211864141102	1,800.00
008824523533817632	148.00
008160500213742738	40.00
008753815004282914	91.91
008571660961245349	1.05
004411062367619406	3.51
005134219132650494	99.00
007064710995371089	61.18
003273766460562627	64.56
003637911840110195	0.26
005120434233948673	0.02

4,732.15

Ticket Count: 43

DownStream Casino

- FINAL DROP -

Date: 06/26/2009

Time: 18:33:47

Beginning Till

60,000.00

Drop From: Cage Window # 4

Cashier: 2047

JUSTIN ADDIS

Item Description	Drop Amnt
Currency \$100	19,700.00 ✓
Currency \$ 50	100.00 ✓
Currency \$ 20	5,940.00 ✓
Currency \$ 10	2,850.00 ✓
Currency \$ 5	995.00 ✓
Currency \$ 1	43.00 ✓
Quarters \$ 0.25 Loose	31.25 ✓
Dimes \$ 0.10 Loose	8.70 ✓
Nickels \$ 0.05 Loose	1.50 ✓
Pennies \$ 0.01 Loose	0.48 ✓
eChecks	5,418.00 ✓
Gaming Vouchers - SCANN	14,820.79 ✓
Chips \$ 500.00 - P	500.00 ✓
Chips \$ 100.00 - B	6,500.00 ✓
Chips \$ 25.00 -	975.00 ✓
Chips \$ 5.00 -	185.00 ✓
Chips \$ 1.00 -	28.00 ✓
\$ 0.25 ANTE - Gold	1.00 ✓
Travelers Checks	50.00 ✓
Cash Advance Checks	2,335.00 ✓
Personal Checks	982.00 ✓
-Check Fees-	-30.00 ✓
Comp Tickets	1,145.00 ✓

Drop : 62,020.00

Cash XFER (deb): 0.00

Cash XFER (cre): (2,620.00)

Total Drop: 60,000.00

Till Amount: (60,000.00)

O/S: 0.00

Cashier License/Signature:

2047

JUSTIN ADDIS

Main Bank (Accepted) Lic./Signature

Main Bank (Verified) Lic./Signature

Supervisor / License #

0.00 10 1538



VARIANCE FACT SHEET

Amount of Variance 90

Name and Badge # of employee _____

Date of Variance 6/27/09 Shift Days

Window Location #5 Time Worked 10 AM to 6 PM

Supervisor handling Variance (Sig. & ID#) _____

Surveillance notified of unconfirmed variance by N/A at _____ am/pm

Surveillance notified of confirmed variance by N/A at _____ am/pm

Steps taken to find variance Recounted & Verified Stacks, recalculated a checks and monetary instruments, recounted coin

If known, what was the reason for the variance? Not Known

Date and type of previous discipline for variances None

Discipline to be issued should variance be confirmed N/A

Copy of this sheet and all variable supporting documents were personally handed to
Surveillance on N/A at _____ am/pm

Cage Sig./Lic. #: _____ Surv. Sig./Lic. #: _____

Surveillance will respond to the cage within 48 hours of that time which is N/A is _____ am/pm

White - Surveillance Yellow - Income Audit Pink - Cage

SP 20132

Quapaw Tribal Gaming Agency



Date Received	5/17/10
Comments	
Reviewed By	JB slr/lo MK 5/17/10
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Emergency Drop Procedures Policy #1400.48.01	Department: Cage	Submission Date: 5/17/2010
Narrative Description: To establish policy and procedures for completing an Emergency Drop. This is a revised version based on QTGA comments provided to us on 5/13/2010.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED JUN 10 2010

DCR Compliance Authorization

Signature: Stephani Ball 2551

Date: 5/14/10

Department Director Authorization

Signature: [Signature]

Date: 5-14-10

General Manager Authorization

Signature: [Signature]

Date: 5/14/10

QTGA Authorization

Signature: Barbara Collins

Date: 5/17/10

EMERGENCY DROP PROCEDURES	Policy No: 1400.48.01	Issue Date: 5/17/2010
PURPOSE: To establish policy and procedures for completing a Emergency Drop		

DCR Compliance – ITEM Tracking	Date
Issue Date	5/17/2010
QTGA Submission	5/6/2009
QTGA Submission	7/15/2009
Compliance Review	7/2009
QTGA Submission	7/31/2009
QTGA Return	11/6/2009
Compliance Review	11/18/2009
QTGA Submission	12/11/2009
QTGA Return	12/21/2009
Compliance Review	5/7/2010
QTGA Submission	5/10/2010
QTGA Return	5/13/2010
Compliance Review	5/14/2010
QTGA Submission	5/17/2010
QTGA Final Approval	5/17/2010
GM Approval	5/14/2010
DDA Final Approval	6/10/2010

POLICY

This process is for replacing Bill Validation (BV) cans in the Electronic Gaming Machines (EGM) for repair or if the can is full and needs to be emptied. It is also for doing a ticket validation for the EGM attendants when there is a patron dispute.

PROCEDURE

1. The EGM Supervisor shall contact a Main Bank Cashier or above and make them aware that an Emergency Drop (E-Drop) is needed and the number of EGMs that need processed. The EGM Shift Manager or above shall contact a Quapaw Tribal Gaming Agency (QTGA) compliance agent and a Security Supervisor.
2. The Cage Supervisor or Main Bank Cashier shall get the BV can and an E-drop form (pg. 4). If there are more than two hot cans that need to be replaced, the Cage Supervisor or Main Bank Cashier shall use a lockable drop cart to carry the cold cans to the EGM and the hot cans back to the Soft Count Room.

3. The Cage Supervisor or above that is completing the E-drop shall fill in the cold can information at the top of the E-drop form, along with the date and shift. The E-Drop form is a two part form that contains the following information:
 - a. Gaming Date
 - b. Time
 - c. Shift
 - d. Credit – (EGM Asset Number)
 - e. Replacement (Cold) Can Number
 - f. EGM Machine Number/Location
 - g. Denomination Value of all currency
 - h. Cash Sub Total
 - i. Number of Tickets (piece number)
 - j. Total amount
 - k. Cage Signature and badge number
 - l. Soft Count Signature and badge number
 - m. Security Signature and badge number
 - n. Original Copy (white) to income audit
 - o. Duplicate Copy (yellow) to Main Bank
4. The Cage Supervisor or Main Bank Cashier shall take the cold can and E-drop form to the Key Watcher and sign out the keys to begin the process. The Security Supervisor shall notify surveillance that the process will begin. The EGM Shift Manager or above, the QTGA Compliance Agent, the Security Supervisor and the Cage Supervisor or above shall proceed to the EGM.
5. When arriving at the EGM, the Cage Team Member shall write the EGM asset number and EGM location number on the top of the E-drop form. These numbers are located on the front of the EGM.

6. The EGM Shift Manager or above shall unlock the EGM. The Cage Supervisor or above shall unlock the BV lock and remove the hot can and replace it with the cold can.
7. The Cage Supervisor or above, EGM Shift Manager or above, QTGA Compliance Agent, and Security Supervisor shall escort the hot can to the soft count room, and complete the hot can information on the E-drop form. As previously mentioned, if there are more than two hot cans, they must be escorted in a lockable drop cart to the soft count room. The Security Supervisor and the Cage Supervisor or above shall sign the bottom of the E-drop form and leave the can in the soft count room in the Cart Storage Cabinet. The Cage Supervisor or above, accompanied by a QTGA Compliance Agent or Security Supervisor, shall then return the keys to the Key Watcher to complete the process.

E-DROP PROCEDURES – TICKET/BILL VERIFICATION

1. An E-drop form or BV cold can is not needed for ticket verification.
2. The EGM Shift Manager or above shall contact a Cage Supervisor or a Cage Main Bank Cashier and make them aware that an E-drop for ticket/bill verification is needed and what type. The EGM Shift Manager or above shall contact a QTGA Compliance Agent and a Security Supervisor.
3. The Security Supervisor shall notify Surveillance that an E-drop for ticket/bill verification is going to occur.
4. The Cage Supervisor or above shall meet the EGM Shift Manager or above, the Security Supervisor, and the QTGA Compliance Agent at the Key Watcher to sign out the keys.
5. The EGM Shift Manager or above, Cage Supervisor or above, QTGA Compliance Agent, and a Security Supervisor shall go to the proper EGM and retrieve the hot can.
6. The EGM Shift Manager or above, Cage Supervisor or above, QTGA Compliance Agent, and a Security Supervisor shall take the hot can to the Credit Host Office, which is located by the Table Games VIP room, and remove the last ticket or bill from the hot can.
7. The group shall look at the ticket under the surveillance camera.
8. The ticket or bill shall then be replaced in the hot can and the can shall be taken to the proper EGM and placed back into the machine.
9. The Cage Supervisor or above, accompanied by a QTGA Compliance Agent or Security Supervisor shall then return the keys to the Key Watcher to complete the process.



CAGE SIG.	LIC #
SOFT COUNT SIG.	LIC #
SECURITY SIG.	LIC #

SP 20082

Quapaw Tribal Gaming Agency



Date Received	8/6/10
Comments	
Reviewed By	BKC
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Entering and Leaving the Mantrap Area of the Cage Policy #1400.56.02	Department: Cage	Submission Date: 8/5/2010
Narrative Description: To establish policy and procedures for entering and leaving the mantrap area of the Cage. This is revision to the QTGA/DDA approved policy. The only change is the addition of Director of Surveillance to the matrix.		DCR/QTGA Tracking:

DCR Compliance Authorization

Signature: Stephanie Batta 2551

Date: 8/4/10

Department Director Authorization

Signature: M. Kim Jim #1945

Date: 8/4/10

General Manager Authorization

Signature: [Signature]

Date: 8/15/10

QTGA Authorization

Signature: Barbara Collins

Date: 8/9/10

ENTERING AND LEAVING THE MANTRAP AREA OF THE CAGE	Policy No: 1400.56.02	Issue Date: 8/9/2010
PURPOSE: To establish procedures for entering and leaving the mantrap area of the cage.		

DCR Compliance – ITEM Tracking	Date
Issue Date	8/9/2010
Compliance Review	12/9/2009
QTGA Submission	1/14/2010
QTGA Return	1/21/2010
Compliance Review	4/13/2010
QTGA Submission	4/15/2010
QTGA Return	4/22/2010
Compliance Review	5/12/2010
QTGA Submission	5/13/2010
QTGA Return	5/27/2010
Compliance Review	6/2/2010
QTGA Submission	6/3/2010
QTGA Final Approval	6/24/2010
GM Approval	6/3/2010
DDA Final Approval	7/7/2010
Compliance Revision to DDA Approval	7/20/2010
QTGA Submission	7/22/2010
QTGA Return	8/2/2010
Compliance Review	8/4/2010
QTGA Submission	8/5/2010
QTGA Final Approval	8/9/2010
GM Approval	8/5/2010
DDA Final Approval	8/12/2010

PROCEDURES

Surveillance

1. A Team Member that has access to the mantrap area shall scan their badge in order for the door to the mantrap area to open. (A list of Team Member positions that are authorized to enter the mantrap area are provided on page 5-6.) Each Team Member that has access to the mantrap area and enters the door to the mantrap area shall scan their badge, even if the door is already open so there is evidence of each authorized Team Member entering the mantrap area.
2. Once the initial door to the mantrap area is closed, the Team Member shall push the green button located on the far side of the wall near the door closest to the cage area. The green button notifies surveillance by activating an alarm monitor once it is pushed.
3. Surveillance shall identify the Team Member (s) requesting access to the Cage area and ensure they are authorized to enter.
4. If a Team Member is escorting a non-key licensed individual that would normally not be allowed in the secured area, Surveillance will verify that an approved Secured Access Request (pg. 7) has been received from QTGA (Quapaw Tribal Gaming Agency) authorizing the non-key licensed individual to enter the Cage area.
5. Once the Secured Access Request is verified, surveillance shall release the door and the Team Member(s) and individual(s) shall enter the Cage area.
6. Team Members that do not have access to the mantrap area but are key licensed shall be escorted by Security through the mantrap. The non authorized Team Members shall not scan their badge. Security shall escort the Team Member into the mantrap, call Surveillance to report who they are escorting, where they are going and the reason. Surveillance shall log this information as documentation as to who is entering the mantrap area.
7. Surveillance shall verify the Soft Count mantrap door is secured prior to authorizing access into the Cage area.
8. All Team Members that have authorized access to enter the mantrap and Cage shall scan their badge on all subsequent badge readers so there is documented evidence of all who enters the mantrap and Cage areas.

Procedures for Obtaining a Secured Access Request

1. The Department Manager or above shall request a Secured Access Request be prepared by the DCR Compliance Department. The Secured Access Request is to request approval from QTGA for the non-authorized individual to enter an authorized area.

2. The Secured Access Request contains the following information:
 - a. Date
 - b. Time
 - c. Work to be performed
 - d. Name and Badge Number for access
 - e. Access Area and Yes/No for each area
 - f. DCR Compliance Authorization Signature and Date
 - g. Requesting Department Authorization Signature and Date
 - h. QTGA Authorization Signature and Date
3. An authorized DCR Compliance Representative (Compliance Manager, Compliance Officer, Compliance Coordinator, Director of Finance, CFO, or General Manager) shall sign the Secured Access Request, indicating approval.
4. Once the Secured Access Request is completed and signed by the DCR Compliance Department, it is provided to the requesting Department Supervisor or above for signature.
5. DCR Compliance shall provide the signed Secured Access Request to QTGA for approval.
6. QTGA will also sign the Secured Access Request indicating approval.
7. DCR Compliance will take the QTGA approved Secured Access Request to get a date stamp from both Security and Surveillance. Once the date stamps are provided, copies of the Secured Access Request are made and given to both Security and Surveillance.
8. DCR Compliance shall also provide a copy of the approved Secured Access Request to the Department requesting access and QTGA.
9. The original copy of the Secured Access Request shall be maintained by DCR Compliance.

Security

1. The Security department will assist in controlling the exiting door of the mantrap to the DCR back of house hallway.

2. When a Team Member is leaving the mantrap, the Team Member will push the green button located near the door closest to the Team Member hallway.
3. This will activate the alarm monitor in the security dispatch.
4. If the Team Member is not carrying items out of the mantrap, security will release the door.
5. If the Team Member is carrying any type of package or item that could conceal items, security will dispatch an officer to do a bag or garment check. The door will remain locked until an officer is available to complete the bag or garment check.

Man Trap	Main Bank	Cashier Counter	Poker Cage	High Limit Cage
CFO	Accounting Manager	Accounting Manager	Accounting Manager	Accounting Manager
Cage Cashier	Admin Assistant	Admin Assistant	Admin Assistant	Admin Assistant
Cage Manager	CFO	CFO	CFO	CFO
Cage Shift Manager	Cage Cashier	Cage Cashier	Cage Cashier	Cage Cashier
Cage Supervisor	Cage Manager	Cage Manager	Cage Manager	Cage Manager
Cage Trainer	Cage Shift Manager	Cage Shift Manager	Cage Shift Manager	Cage Shift Manager
DCR Compliance Manager, Officer, Coordinator	Cage Supervisor	Cage Supervisor	Cage Supervisor	Cage Supervisor
Count Team Clerk	Cage Trainer	Cage Trainer	Cage Trainer	Cage Trainer
Count Team Manager	DCR Compliance Manager; Officer; Coordinator	DCR Compliance Manager; Officer; Coordinator	DCR Compliance Manager; Officer; Coordinator	DCR Compliance Manager; Officer; Coordinator
Count Team Supervisor	Director of Finance	Director of Finance	Director of Finance	Director of Finance
Count Team Lead Clerk	Director of Security	Director of Security	Director of Security	Director of Security
Director of Finance	EMT/Security	EMT/Security	EMT/Security	EMT/Security
Director of Security	General Manager	General Manager	General Manager	General Manager
EMT/Security	Investigator	Income Audit Manager	Income Audit Manager	Income Audit Manager
General Manager	Main Bank Cashier	Income Audit Supervisor	Income Audit Supervisor	Income Audit Supervisor
Income Audit Manager	Security F/R	Income Auditor	Income Auditor	Income Auditor
Income Audit Supervisor	Security Lead	Investigator	Investigator	Investigator
Income Auditor	Security Officer	Lead Income Auditor	Lead Income Auditor	Lead Income Auditor
Investigator	Security Shift Manager	Main Bank Cashier	Main Bank Cashier	Main Bank Cashier
Lead Income Auditor	Security Shift Supervisor	Security F/R	Security F/R	Security F/R
Main Bank	Security	Security Lead	Security Lead	Security Lead

Cashier	Supervisor			
Security F/R	QTGA	Security Officer	Security Officer	Security Officer
Security Lead	Director of Surveillance	Security Shift Manager	Security Shift Manager	Security Shift Manager
Security Officer		Security Shift Supervisor	Security Shift Supervisor	Security Shift Supervisor
Security Shift Manager		Security Supervisor	Security Supervisor	Security Supervisor
Security Shift Supervisor		QTGA	QTGA	QTGA
Security Supervisor		Director of Surveillance	Director of Surveillance	Director of Surveillance
QTGA				
Director of Surveillance				



Quapaw Tribal Gaming Agency

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		

DCR Compliance Authorization

Signature: _____

Date: _____

Requesting Department Authorization

Signature: _____

Date: _____

QTGA Authorization

Signature: _____

Date: _____

QTGA Approved 3/23/2010



MEDIA ALERT FOR HABITOTES

HABITOTES INTRODUCES RAZORBACK COLLEGIATE TOTE

Razorback fans can show team spirit & support while practicing sustainability.

WHAT: habitotes®, a Northwest Arkansas-based company that produces reusable totes from recycled materials to reduce our dependence on plastic bags, is proud to announce a new Razorback-themed tote. The Hog Wild habitote® will debut at Donald W. Reynolds Razorback stadium, where 50,000 totes will be handed out free to Hog fans prior to the Arkansas vs. Ole Miss game on Saturday, October 23, 2010.

habitotes® is partnering with the University of Arkansas Green Groups Guild, who will be assisting with the distribution of the totes and informing the public how Habitotes® benefit the environment. With the assistance of Dr. Nick Brown, a member of the University of Arkansas Sustainable Management Team, habitotes® will have the opportunity to award a scholarship through the team's programs.

The distribution of these 50,000 Hog Wild totes will allow Razorback fans to show their team spirit while reducing their community's carbon footprint on the environment. Using these 50,000 totes just four times will replace 800,000 plastic shopping bags. All habitotes® products are washable, durable and manufactured from recycled plastic water bottles.

WHERE: **Donald W. Reynolds Razorback Stadium**
North Stadium Drive & Maple Street
Fayetteville, AR 72701

WHEN: Saturday, October 23, 2010
Time: TBA



WHO: habitotes® is dedicated to removing plastic bags from the world's waste stream while providing an opportunity for businesses to increase brand awareness. The logos of sponsoring companies appear on the habitotes®, which keep costs down so they can be provided free to the general public. The production of these 50,000 bags alone will remove 250,000 plastic water bottles from the world's waste stream. habitotes® last up to 100 times longer than plastic shopping bags, and allow shoppers to hold up to four times as much.

For more information on habitotes® and this event, please contact Greg Sparrow at 479-236-2268.

Quapaw Tribal Gaming Agency



Date Received	6/03/10
Comments	
Reviewed By	QC 6/8/10 MLC 6/24/10
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

mailed 7/9/10

Policy Name and Number: Processing checks, credit cards, money orders, traveler's checks, cashier's/official checks Policy #1400.21.01	Department: Finance/Compliance	Submission Date: 6/3/2010
Narrative Description: To establish policy and procedures that outline how Cage Cashiers are to process personal checks, credit card transactions, money orders, traveler's checks, cashier's/official checks and maintain accountability of Downstream Casino Resort funds for these transactions. This is a revision to the Tentative Approval received by QTGA based on their comments provided to us on 5/13/2010.		DCR/QTGA Tracking:

DCR Compliance Authorization

Signature: Stephanie Ball 2551

Date: 6/2/10

Department Director Authorization

Signature: [Signature] 5808

Date: 6/2

General Manager Authorization

Signature: [Signature]

Date: 6/3/10

QTGA Authorization

Signature: Barbara Collins

Date: 6/24/10

PROCESSING CHECKS, CREDIT CARDS, MONEY ORDERS, TRAVELER'S CHECKS, CASHIER'S/OFFICIAL CHECKS	Policy No: 1400.21.01	Issue Date: 6/1/2008 Revised Date: 3/12/2009 5/6/2010 5/17/2010
PURPOSE: To establish policies and procedures that outline how Cage Cashier are to process Personal Checks, Credit Card transactions, Money Orders, Traveler's Checks, Cashier's/Official Checks and maintain accountability of Downstream Casino Resort funds for these transactions.		

DCR Compliance – ITEM Tracking	Date
Issue Date	6/1/2008
Compliance Review	5/6/2010
QTGA Submission	5/6/2010
QTGA Return	5/13/2010
Compliance Review	5/17/2010
QTGA Submission	6/3/2010
QTGA Final Approval	6/24/2010
GM Approval	6/3/2010
DDA Final Approval	7/7/2010

POLICY

1. Personal checks and payroll checks may be cashed at the Cage in the following situations:
 - a. Approved through DCR's guarantee check cashing system
 - b. Approved through a line of DCR Credit
 - c. Signed off on by the General Manager, Chief Financial Officer or Director of Finance

PAPER PERSONAL CHECKS

1. Paper personal checks may be accepted at any window in the cage. Acceptable checks will include Personal checks, E-Checks, Business checks (DBA), and Money Market checks. All checks will be processed through Global Payments. The limit established by Global Payments will be the final limit available to the patron.
2. The following is the correct procedure for processing paper checks:
 - a. Paper Personal checks will be presented to the Cage Cashier to be processed.

b. The Cage Cashier will obtain the necessary ID for verification. (See Universal ID Acceptance Policy #6320.15.01 for detailed information on valid IDs.)

i. Valid U.S. State Driver's License

ii. U.S. State Issued ID

iii. U.S. Military ID

iv. U.S. Passport

3. Confirm the check matches the following requirements:

a. The patron's first and last name must be commercially imprinted on the check. (Business checks must have the name of the business and the individual's name imprinted on the check)

b. Physical address may be imprinted on the check or it may be written in by the Cage Cashier. P.O. Boxes are not accepted, Global Payments shall only accept a physical address.

c. Telephone number must be on the check, either imprinted on the check or hand written in by the Cage Cashier.

d. Numeric and written amounts agree.

e. The check must be made payable to Downstream Casino Resort (DCR).

f. Check must be a US bank account.

g. Check number must be 101 or higher (Per Global Payments regulations).

h. Confirm that the patron has signed the check (**All checks must be signed prior to processing.** Signature must be the same as the bank imprinted name and signature on ID.)

4. Checks shall be placed face up into the MICR reader and the Cage Cashier will verify the data imported from the MICR reader is correct.

5. The authorization request will be transmitted and the check approval will be displayed on the screen.

a. The printer will automatically print an endorsement on the back of the check.

- b. After endorsement printing, remove the check and review one last time that the check and the patron ID matches the information on the approval screen.
- c. Time stamp on the back of the check, careful not to time stamp over the depository information.
- d. The Cage Cashier shall pay the patron and place the check in the top drawer of the window bank; the check is now an inventory item and will be turned into Main bank at the end of the shift.
- e. All \$500 checks or greater require a “Double” verification from a Cage Supervisor or above. A “Double” results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. The Cage Supervisor shall watch the payout of the check and sign in the upper left hand corner of the check acknowledging the payment of the check.
- f. All Checks cashed are subject to the Title 31 requirements (Policy #1400.26.01, Title 31 Compliance with Cage Procedures). Single or multiple checks at \$3000 shall be logged on the Multiple Transaction Log (Policy #1400.23.01, Multiple Transaction Log). Single Checks in the amount of \$3000 or greater will also be copied along with the ID and logged on the Negotiable Instrument Log (Policy #1400.24.01, Negotiable Instrument Log).
- g. At the end of each shift, the Cage Supervisor will prepare the checks for electronic deposit and deposit into DCR’s bank account. (See Policy #1400.55.01, Remote Deposits – Checks for additional information.)
- h. The original checks shall be forwarded to Audit with the Main Bank shift’s paperwork.

ELECTRONIC CHECK TRANSACTIONS

- 1. Electronic Checks are processed at the Cashier Cage after an application process and a limit is established through Global Payments Guarantee Check Cashing Service. The limit established by Global Payments will be the final limit available to the patron. An electronic check can only be completed after the patron has cashed at least one check through the paper check process and the patron must have a permanent Global Payments card.
- 2. The correct procedures for Electronic Check Transactions are:
 - a. The Patron presents the Cage Cashier with a valid form of ID. (See policy #6320.15.01, Universal ID Acceptance Policy for additional information on valid IDs.)
 - i. Valid U.S. State Driver’s License
 - ii. U.S. State Issued ID

- iii. U.S. Military ID
 - iv. Passport
- b. The patron presents a permanent Global Payment card.
- c. The Cage Cashier swipes the card through the reader, enters the last-4 digits of the patron's telephone number and selects cash, chips or voucher.
- d. The Cage Cashier enters the requested dollar amount and clicks transmit.
- e. Upon receipt of an approval number, the printer will print out duplicate E-Check receipts. The receipts will include the following information:
 - i. Casino Name
 - ii. Casino Address
 - iii. Phone number of the Casino
 - iv. Merchant ID number
 - v. Date & Time
 - vi. Clerk ID number
 - vii. Patron Account number
 - viii. Amount of check
 - ix. Payout type
 - x. Approval Number
 - xi. Statement of Authorization
 - xii. Signature line
 - xiii. Name of Patron
- f. The Cage Cashier will verify that the name of the patron and the patron's ID matches the information on the approval screen.

- g. The Cage Cashier will ask the patron to sign the receipt. Place the signed receipt in the drawer and give one copy to the patron.
- h. Pay the patron.
- i. The e-Check is now an inventory item and will be turned into Main bank at the end of the shift.
- j. All checks \$500 or greater require a “Double” verification from a Cage Supervisor or above. A “Double” results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. During the double verification, the Cage Supervisor or above watches the payout of the check and signs in the upper left hand corner of the check acknowledging the payment of the check.
- k. All e-Checks cashed are subject to the Title 31 requirements (Policy #1400.26.01, Title 31 Compliance with Cage Procedures). Single or multiple e-checks at \$3000 shall be logged on the Multiple Transaction Log (Policy #1400.23.01, Multiple Transaction Log). Single e-Checks in the amount of \$3000 or greater, will also be copied along with the ID and logged on the Negotiable Instrument Log (Policy #1400.24.01, Negotiable Instrument Log).
- l. At the end of each Main Bank Cashier’s shift the e-Checks are sent to Accounting in the Main Bank Cashier’s paperwork.

CREDIT CARD CASH ADVANCE/POS DEBIT

- 1. MasterCard, Visa, Discover or recognized bank issued card shall be accepted at any window of the Cage for processing.
- 2. All Credit Card Cash Advance/POS Debit checks/amounts requested will be processed through Global Payments. DCR will only advance cash in the amount approved by the Global Payments system.
- 3. American Express cash advances on credit cards must be processed at the ATM with a pin number.
- 4. The following is the correct procedure for processing a cash advance on a credit card:
 - a. Patron will present an accepted/recognized bank card to the Cage Cashier to be processed. The patron must sign the back of the card.
 - b. The Cage Cashier will verify that the signature on the card matches the signature on the ID.

- c. The Cage Cashier will obtain the necessary ID for verification. (See policy #6320.15.01, Universal Acceptance ID Policy for detailed information on acceptable ID's.)
 - i. Valid U.S. State Driver's License
 - ii. U.S. State Issued ID
 - iii. U.S. Military ID
 - iv. Passports
- d. The Cage Cashier will swipe the card in the Global Payments terminal.
- e. The Cage Cashier shall confirm the Credit Card Cash Advance check matches the following requirements:
 - i. Name must be imprinted
 - ii. Physical address on check
 - iii. Telephone number on the check
 - iv. Numeric and written amounts agree.
 - v. Signature must be the same as the bank imprinted name and signature on ID.
 - vi. The check must be made payable to Downstream Casino Resort
- f. Bank Cards will be entered into the MICR reader and the Cage Cashier will verify the data imported from the MICR reader is correct.
- g. The authorization request will be transmitted and the check approval will be displayed on the screen.
- h. The Cage Cashier will imprint the check with the embossing machine in the designated location on the face of the check.
- i. The Cage Cashier must verify that the "FEE" captured in the upper right corner of the check is correct. The patron is asked to initial the fee, acknowledging that the patron's account will be charged the service fee in addition to the amount of the cash advance.
- j. The Cage Cashier will ask the patron to endorse the back of the check.

- k. The Cage Cashier will compare this signature with the ID and the signature on the back of the credit card.
 - l. The Cage Cashier will pay the patron, time stamp the back of the check and place the check in the drawer; the check is now an inventory item and will be turned into Main Bank at the end of the shift.
 - m. All checks \$500 or greater require a “Double” verification from a Cage Supervisor or above. A “Double” results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. A Cage Supervisor or above will also watch the payout of the check and sign in the upper left hand corner of the check acknowledging the payment of the check .
5. The following is the correct procedure for processing an ECash Advance on a Credit Card:
- a. Patron provides – Valid ID & Valid Credit Card (VISA, MasterCard, Discover only)
 - b. The Cage Cashier will obtain the necessary ID for verification. (See Universal ID Acceptance Policy, policy #6320.15.01 for detailed information on acceptable IDs). Acceptable ID for Credit Card transactions are:
 - i. Valid U.S. State Driver’s License
 - ii. U.S. State Issued ID
 - iii. U.S. Military ID
 - iv. Passports
 - c. The Cage Cashier shall click on “Cash Advance” tab.
 - d. The Cage Cashier shall click “Authorize” & enter Clerk ID.
 - e. The Cage Cashier shall swipe patron’s Credit Card.
 - f. If the Credit Card needs to be manually entered, a Cage Supervisor’s password is needed after entering the info. If the Credit Card is manually entered, a paper check will need to be printed. Electronic Cash Advance will not be allowed.
 - g. The Cage Cashier shall enter the printed 4-digit number that appears on the face of the card & press the Tab key.
 - h. The Cage Cashier shall enter the last 4-digits of the card and press “Transmit”.

- i. The Cage Cashier shall enter the amount and press Tab, if applicable choose Cash, Chips Voucher or Mixed from the drop down menu, enter payout amounts and press “Transmit” button.
 - j. Fees will show up on the computer screen. The Cage Cashier shall verify with the patron that they accept the fee. (If patron does not accept the fee, cancel the transaction. Transaction will fall off the system in 2 hours).
 - k. The Cage Cashier shall press “Transmit” unless fee is to be discounted. (If discounting fee, select the percentage of the discount, then hit “Transmit”). A Cage Supervisor password is required if discounting the fee.
 - l. The Cage Cashier shall swipe the patron’s Drivers License to enter info or enter the information manually. (When patron is entered into the system, upon returning using the same credit card, all fields on the ID screen will be populated, except for the expiration date of the ID. Enter the expiration date (2digit month-4 digit year.) Complete all required fields. (Social Security Number or Card Holder info is optional) Once the information is entered, press “Transmit”.
 - m. A copy of the check is displayed on the signature pad. The Cage Cashier shall have the patron initial that they accept the fee & press “Next” on the signature pad.
 - n. The Cage Cashier shall verify that the fee has been initialed. Have the patron sign & press “OK” on the signature pad. The Cage Cashier shall verify the patron’s signature and click “Signature verified” when done.
 - o. Duplicate receipts will now print. The Cage Cashier shall
 - i. Verify information.
 - ii. Keep one receipt for their records and give one receipt to the patron.
 - iii. CLEAR SCREEN AFTER EVERY TRANSACTION
6. All checks \$500 or greater require a “Double” verification from a Cage Supervisor or above. A “Double” results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. The Cage Supervisor shall also watch the payout of the check and sign in the upper left hand corner of the check acknowledging the payment of the check.
7. All Checks are subject to the Title 31 requirements (Policy #1400.26.01, Title 31 Compliance with Cage Procedures). Single or multiple checks at \$3000 shall be logged on the Multiple Transaction Log (Policy #1400.23.01, Multiple Transaction Log). Single Checks in the amount of \$3000 or

greater will also be copied along with the ID and logged on the Negotiable Instrument Log (Policy #1400.24.01, Negotiable Instrument Log).:

8. At the end of each shift, the Cage Supervisor shall prepare the Manual Credit Cash Advances for electronic deposit and deposit into DCR's bank account. (See policy # 1400.55.01, Remote Deposits – Checks for additional information.)
9. The original checks shall be forwarded to Audit with the Main Bank shift's paperwork.

MONEY ORDERS

1. DCR shall accept Money Orders from recognized/accepted financial institutions, such as U.S. banks or the United States Post Office for payment of debt owed to the casino. DCR shall not cash money orders.
2. The following is the correct procedure for processing Money Orders:
 - a. Patron will present an accepted/recognized Money Order to the Cage Cashier to be processed.
 - b. The Cage Cashier will obtain the necessary ID for verification. (See policy #6320.15.01, Universal ID Acceptance Policy for additional information on valid IDs.)
 - i. Valid U.S. State Driver's License
 - ii. U.S. State Issued ID
 - iii. Military ID
 - iv. Passports
3. Confirm the Money Order matches the following requirements:
 - a. Name must be present along all other information required by the issuing agency.
 - b. Numeric and written amounts agree.
 - c. The check must be made payable to Downstream Casino
 - d. The Cage Cashier will contact a Cage Supervisor or Credit Representative who will complete the proper paperwork for the payment and give the patron a receipt.
 - e. The money order will be time stamped on the back and either placed in the Cage Cashier's drawer or taken to the Main Bank along with the paperwork of the transaction; the check

and the paperwork for the transaction are now inventory items. If placed in the Cage Cashier's drawer they will be turned into Main bank at the end of the shift.

4. All checks \$500 or greater require a "Double" verification from a Cage Supervisor or above. A "Double" results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. The Cage Supervisor or above shall watch the payout of the check and sign in the upper left hand corner of the check acknowledging the payment of the check.
5. All Checks cashed are subject to the Title 31 requirements (Policy #1400.26.01, Title 31 Compliance with Cage Procedures). Single or multiple checks at \$3000 shall be logged on the Multiple Transaction Log (Policy #1400.23.01, Multiple Transaction Log). Single Checks in the amount of \$3000 or greater will also be copied along with the ID and logged on the Negotiable Instrument Log (Policy #1400.24.01, Negotiable Instrument Log).
6. At the end of each shift, the Cage Supervisor shall prepare the Money Order for electronic deposit and deposit into the Casino bank account. (See policy # 1400.55.01, Remote Deposits – Checks for additional information.)
7. The original money orders shall be forwarded to Audit with the Main Bank shift's paperwork.

TRAVELER'S CHECKS

1. DCR shall accept Traveler's checks from recognized/accepted financial institutions, such as U.S. banks, VISA and American Express. DCR shall not accept Foreign Traveler's Checks.
2. The following is the correct procedure for processing Traveler's Checks:
 - a. Patron will present an accepted/recognized Traveler's Check to the Cage Cashier to be processed.
 - b. The Cage Cashier will obtain the necessary ID for verification. See Universal ID Acceptance Policy, policy #6320.15.01 for additional information on valid IDs.)
 - i. Valid U.S. State Driver's License
 - ii. U.S. State Issued ID
 - iii. Military ID
 - iv. Passports
3. The Cage Cashier will confirm that the Traveler's check matches the following requirements:

- a. The check must be made payable to Downstream Casino
 - b. Check must be counter signed in front of the Cage Cashier.
 - c. The patron's name on check must match the person presenting the check and match the ID.
 - d. On at least one of the checks presented, the Cage Cashier will write the ID Number, the ID State of issuance and expiration date of the ID on the back of the check.
 - e. The Cage Cashier will call the 1-800 numbers for VISA and American Express for an approval code for all checks with a single value of \$500 or an accumulative value of \$500. The approval code will be written in the upper right corner of the check.
4. All checks \$500 or greater require a "Double" verification from a Cage Supervisor or above. A "Double" results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. The Cage Supervisor or above shall watch the payout of the check and sign in the upper left hand corner of the check acknowledging the payment of the check.
 5. All Checks cashed are subject to the Title 31 requirements (Policy #1400.26.01, Title 31 Compliance with Cage Procedures). Single or multiple checks at \$3000 shall be logged on the Multiple Transaction Log (Policy #1400.23.01, Multiple Transaction Log). Single Checks in the amount of \$3000 or greater will also be copied along with the ID and logged on the Negotiable Instrument Log (Policy #1400.24.01, Negotiable Instrument Log).
 6. At the end of each shift, the Cage Supervisor shall prepare the Traveler's checks for electronic deposit and deposit into DCR's bank account. (See policy # 1400.55.01, Remote Deposits – Checks for additional information.)
 7. The original money orders shall be forwarded to Audit with the Main Bank shift's paperwork.

CASHIER'S/OFFICIAL CHECKS

1. DCR shall accept Cashier's/Official checks from recognized/accepted financial institutions, such as US banks for encashment, payment on debt owed to DCR or for credit toward front money/safekeeping.
2. The following is the correct procedure for processing Cage Cashier's/Official checks:
 - a. Patron will present an accepted/recognized Cashier's/Official Check to the Cage Cashier to be processed.

- b. The Cage Cashier shall obtain one of the following necessary ID's for verification. (See Universal ID Acceptance Policy, policy #6320.15.01 for additional information.)
 - i. Valid U.S. State Driver's License
 - ii. U.S. State Issued ID
 - iii. Military ID
 - iv. Passports
- 3. The Cage Cashier will confirm that the Cashier's/Official check matches the following requirements:
 - a. The check must be made payable to Downstream Casino (if the check is made payable to the patron, the check must be endorsed on the back.)
 - b. The Patron's name on check must match the person presenting the check and match the ID.
- 4. The Cage Cashier will copy the check and the ID and request that the Cage Supervisor or above call the bank 1-800 number to get an approval on the check to ensure that the check is authentic. The check will not be cashed or deposited on front money/safekeeping unless the check can be authorized.
- 5. Once approved and the check has been confirmed to be authentic, the Cage Supervisor will complete the paperwork for the payment, front money/safekeeping deposit or instruct the Cage Cashier to cash the check.
- 6. Before the check is taken into inventory, the Cage Cashier will write the driver's license information on the back of the check and time stamp the back of the check.
- 7. All checks \$500 or greater require a "Double" verification from a Cage Supervisor or above. A "Double" results when a Cage Supervisor looks at the check to ensure that all procedures have been followed in the cashing of the check. The Cage Supervisor or above shall watch the payout of the check and sign in the upper left hand corner of the check acknowledging the payment of the check.
- 8. All Checks cashed are subject to the Title 31 requirements (Policy #1400.26.01, Title 31 Compliance with Cage Procedures). Single or multiple checks at \$3000 shall be logged on the Multiple Transaction Log (Policy #1400.23.01, Multiple Transaction Log). Single Checks in the amount of \$3000 or greater will also be copied along with the ID and logged on the Negotiable Instrument Log (Policy #1400.24.01, Negotiable Instrument Log).

9. At the end of each shift the Cage Supervisor shall prepare the Cashiers/Official checks for electronic deposit and deposit into DCR's bank account. (See policy # 1400.55.01, Remote Deposits – Checks for additional information.)
10. The original Cashiers/Official checks shall be forwarded to Audit with the Main Bank shift's paperwork.

Quapaw Tribal Gaming Agency



Date Received	5/21/10
Comments	
Reviewed By	MK 5/24/10 SB 5/24/10 AS 5/27/10
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Processing Cage Cashier Takes Through the Main Bank Policy #1400.34.01	Department: Cage	Submission Date: 5/20/2010
Narrative Description: To establish policy and procedures for Main Bank Cashiers to process Cage Cashier tokens through the Main Bank. This is a revised version based on QTGA comments provided to us on 5/13/2010.		DCR/QTGA Tracking: Vmailed 7/8/10

DCR Compliance Authorization

Signature: Stephanie Batts 2551

Date: 5/17/10

Department Director Authorization

Signature: [Signature] 592

Date: 5/19/10

General Manager Authorization

Signature: [Signature]

Date: 5/20/10

QTGA Authorization

Signature: Barbara Collins

Date: 6/7/10

PROCESSING CAGE CASHIER TOKES THROUGH THE MAIN BANK	Policy No: 1400.34.01	Issue Date: 6/7/2010
PURPOSE: To establish policy and procedures for Main Bank Cashiers to process Cage Cashier tokens through the Main Bank.		

DCR Compliance – ITEM Tracking	Date
Issue Date	6/7/2010
QTGA Submission	7/8/2009
QTGA Return	11/6/2009
Compliance Review	4/29/2010
QTGA Submission	5/6/2010
QTGA Return	5/13/2010
Compliance Review	5/17/2010
QTGA Submission	5/20/2010
QTGA Final Approval	6/7/2010
GM Approval	5/20/2010
DDA Final Approval	7/7/2010

POLICY

Cage Cashier tokens are acceptable, but may not be solicited by Cage Cashiers. The following is the proper procedure for accepting, maintaining, and distributing Cage Cashier tokens.

PROCEDURE

Accepting Tokens

1. When a token is generated, the Cage Cashier shall collect and hold the token in clear site until the token can be deposited in the clear token boxes, which are located next to the Cashier desk at the Cage Cashier's window, Poker Cage, High Limit Cage, and the Main Bank window.

Maintaining Tokens

1. All Cage tokens will be maintained in the designated clear token containers and collected daily by a Main Bank Cashier or a Cage Supervisor and brought to the Main Bank for processing.
2. The funds shall be verified by the Main Bank Cashier on the amount listed on a "Cage Tip Master" sheet (pg. 4) and incorporated into the Main Bank funds.
3. The Cage Tip Master Sheet contains the following:
 - a. Date

- b. Shift
 - c. Total Amount of Cage Tips
4. The Main Bank Cashier shall complete a Miscellaneous Form (pg. 5) for the total amount of the Cage tokens to offset the funds incorporated into the bank.
5. A Cage Miscellaneous Form contains the following information:
- a. Date
 - b. Time
 - c. Amount
 - d. Type – Cash, Coin, Chips, Other
 - e. Type – AJM, Found \$, or Other
 - f. Location
 - g. Asset #
 - h. Reason
 - i. Returned By: Signature/badge number
 - j. Received By: Signature/badge number
6. Both the Miscellaneous Form and the Cage Tip Master Sheet are used as balancing tools with the end of shift paperwork and later forwarded to Income Audit.
7. All deposits will be reported by Income Audit to payroll at the end of each pay cycle.

Distribution Tokens

- 1. Tokens will be allocated by payroll to all hourly Cage Team Members, based on hours worked.
- 2. The Cage Shift Manager or above will review and approve the Cage token pool.
- 3. All tokens will be disbursed on the Cage Cashier's normal pay check.

4. Cage tokens may never be accepted as cash, any failure to comply with this policy will be considered an attempt to circumvent reporting and be subject to Team Member discipline up to and including termination.
5. Nothing in the policy prevents the Management of Downstream Casino Resort, the Downstream Development Authority, Quapaw Tribal Gaming Agency, Internal Revenue Service, or any other applicable agency from taking further action as may be deemed necessary.

CAGE TIP MASTER SHEET

DATE	SHIFT	AMOUNT



MISCELLANEOUS

Date:_____Time:_____

Amount \$_____Type: Cash Coin Chips Other

TYPE: AJM / Found \$ / Other

Location:_____Asset #_____

Reason:_____

Returned by (Sig./Lic. #) _____

Received by (Sig./Lic. #) _____

SP 20439

Quapaw Tribal Gaming Agency



Date Received	6/10/10
Comments	
Reviewed By	Dr 6/16/10 B 6/17/10 MK 6/17/10
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Processing Payroll Checks Policy #1400.40.01	Department: Cage	Submission Date: 6/3/2010
Narrative Description: To establish policy and procedures that outline how Cage Cashiers are to process payroll checks through Global Payments Guaranteed check cashing. This is a revised version based on QTGA's comments provided to us on 5/13/2010.		DCR/QTGA Tracking: Vmailed 7/8/10

DCR Compliance Authorization

Signature: Stephanie Bath 2551

Date: 6/3/10

Department Director Authorization

Signature: [Signature]

Date: 6/3

General Manager Authorization

Signature: [Signature]

Date: 6/8/10

QTGA Authorization

Signature: Barbara Collins

Date: 6/21/10

PROCESSING PAYROLL CHECKS	Policy No: 1400.40.01	Issue Date: 6/21/2010
PURPOSE: To establish policy and procedures that outline how Cage Cashiers are to process Payroll checks through Global Payments Guaranteed check cashing.		

DCR Compliance – ITEM Tracking	Date
Issue Date	6/21/2010
QTGA Submission	7/8/2009
QTGA Submission	9/11/2009
QTGA Return	11/6/2009
Compliance Review	4/16/2010
QTGA Submission	4/22/2010
QTGA Return	4/29/2010
Compliance Review	5/4/2010
QTGA Submission	5/6/2010
QTGA Return	5/13/2010
Compliance Review	6/1/2010
QTGA Submission	6/3/2010
QTGA Final Approval	6/21/2010
GM Approval	6/8/2010
DDA Final Approval	7/7/2010

POLICY

Payroll Checks may be accepted at any window at the Casino cage. All payroll checks shall be processed through Global Payments, unless it is a Downstream Casino Resort (DCR) check or the Director of Finance or above authorizes the payroll check not be processed through Global Payments. Global Payments is a guaranteed check cashing company. The limit established by Global Payments will be the final limit available to the patron, which is not to exceed \$600 without prior approval of the Cage Manager or Director of Finance or above.

PROCEDURES

1. A Payroll check shall be presented to the Cage Cashier to be processed.
2. The Payroll check cannot exceed \$600. (Exceptions require the approval of the Cage Manager or Director of Finance or above.)
3. Patron may not write payroll checks to self.
4. One payroll check per seven days may be cashed. (Global Payments has a control in place that does not allow more than one payroll check to be cashed per seven days for each patron.)
5. A valid ID is required and consists of one of the following for processing payroll checks:
 - a. Valid state issued driver's license (To be valid, it must not be expired.)
 - b. State issued ID cards
 - c. Military ID cards

(See Universal ID Acceptance Policy #6320.15.01 for additional information on valid IDs.)

6. The check fee is 3% of the payroll check taken out before payout: Patron must be told this prior to cashing and agree on before processing the check.

Example: \$599.98 payroll check
Less 3% fee = \$18

Total paid to patron = \$ 581.98

PRE-CASHING PROCESS

1. The Cage Cashier shall request a valid ID mentioned above and a Player's Club card. Global Payments will accept only the following forms of Identification:
 - a. Valid state issued driver's license (US only)
 - b. US State Issued ID
 - c. US Military ID
2. The Cage shall confirm the check matches the following requirements:
 - a. Company name must be commercially imprinted.
 - b. Company's physical address must be on check, no PO boxes.
 - c. Numeric and written amounts agree.
 - d. The check must be made payable to the patron.
 - e. Check must be from a US bank account.
3. **The Cage Cashier shall confirm that the patron has signed the check.** All checks must be signed in the **presence of the Cashier prior to processing**. Signature must be the same as the signature on the ID.
4. The Cage Cashier shall confirm that the check amount is \$600 or less and not written out to their self (owner of business).

PAYROLL CHECK APPROVAL PROCESS

1. The Cage Cashier shall do the following in the approval process:
 - a. Place check face up into the MICR reader.
 - b. Press "Payroll" and enter Cashier's ID#.
 - c. Swipe the patron's ID through the card reader provided or enter the data manually by selecting the type of ID presented and entering the ID number.
 - d. Enter the total check amount.
 - e. Enter the 10-digit Business Phone number of the check issuer.

- f. Enter the patron's 10-digit Home Phone number.
 - g. Press "Transmit".
 - h. Insert the check in the check reader face up. The prompt will display "Please insert check 'face up with MICR # to the right' into the MICR reader/printer".
 - i. Verify the data imported from the MICR reader is correct and click on "Accept" button.
 - j. The authorization request will be transmitted and the check approval will be displayed.
2. The printer will proceed to automatically print an endorsement on the back of the check. The endorsement includes the following information:
- a. For deposit only: Downstream Casino Resort
 - b. Bank Name – Where checks are deposited - International Bank of Commerce
 - c. Bank Account number
 - d. Patron driver's license number
 - e. Patron home phone number
 - f. Business phone number of check issuer
 - g. Approval number; Clerk ID number
 - h. Day, Date and Time
3. After endorsement printing is completed, remove the check from the top of the printer. Verify one more time that the check and patron ID matches the information on the approval screen.
4. Have the patron sign the back of the check.
5. The Cage Cashier shall sign with initials and badge number in the upper right hand corner of the check.
6. The Cage Cashier shall obtain a right thumb print from the patron. The right thumb print shall be placed on the back of the check. (Thumb print pads are located at each Cage Cashier's workstation.)
7. The Cage Cashier shall make a copy of the check, front and back, the patron's identification and the Player's club card. (Copier must be set on "PHOTO".)

PAYMENT PROCESS:

1. The Cage Cashier shall request a double verification from a Cage Supervisor before paying out the currency to the patron. **(ALL PAYROLL CHECKS MUST BE VERIFIED BY A CAGE SUPERVISOR OR ABOVE.)**
2. The Cage Supervisor shall double check that all the above procedures have been followed and sign in the upper left hand corner of the check with initials and badge number, attesting that the correct procedures were followed by the Cage Cashier and the amount paid out is correct.
3. The Cage Cashier shall also do the following when processing the payment:
 - a. Pay the patron **minus** the check cashing fees.
 - b. Perform the payout following Cage Cash Handling procedures already established in the Currency Payouts Policy #1400.12.01 and follow the guidelines for Title 31 already established in Title 31 Compliance with Cage Procedures, Policy #1400.26.01.
 - c. Clear his/her hands after the payout.
 - d. Thank the patron and invite them back.
 - e. Time stamp on the back of the check, careful not to time stamp over the depository information.
 - f. Place the payroll check and the Global Payments receipt in the cash drawer.
 - g. Complete a Miscellaneous Form (pg. 6) for the check cashing fees. "Paid In" will be written on the Miscellaneous Form indicating the receipt of the check cashing fees.
4. The payroll check and the Miscellaneous Form are turned into the Main Bank with the final drop at the end of a shift.

DOWNSTREAM
CASINO RESORT

*Paid
IN*

MISCELLANEOUS

Date: 4/3/10 Time: 2:15 pm

Amount \$ 1386 Type: Cash Coin Chips Other

TYPE: AJM / Found \$ / Other

Location: _____ Asset # _____

Reason: _____

Cash returned from
testing Machines -

Returned by (Sig./Lic. #) J. Supervisor 9988
Received by (Sig./Lic. #) K Barker 1234

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