

NON PROFIT OPERATOR TRAINING

INFORMATION SYSTEMS

- CMS
- USE OF PDF FORMS

AUDIT & COMPLIANCE

- GAMING FORMS

LICENSING & BACKGROUND

- REQUIREMENTS FOR OPERATORS
- REQUIREMENTS FOR INDIVIDUALS

ENFORCEMENT

- INSPECTIONS
- CRIMINAL INVESTIGATIONS

Information Systems (ISD)

Description

- NMGCB ISD is tasked with maintaining all computer systems utilized by the staff, including the daily operation of the Central Monitoring System (CMS).
- The CMS is a statutorily required electronic computer system designed to monitor the status and performance of gaming machines.
- The system collects pertinent data and uses the data to calculate gaming taxes due.
- The system configures and verifies game software, maximum bet, maximum prize, and game selection.
- Provides an accurate, immediate verification source of gaming machine data.
- Capable of up to 10,000 gaming machines.

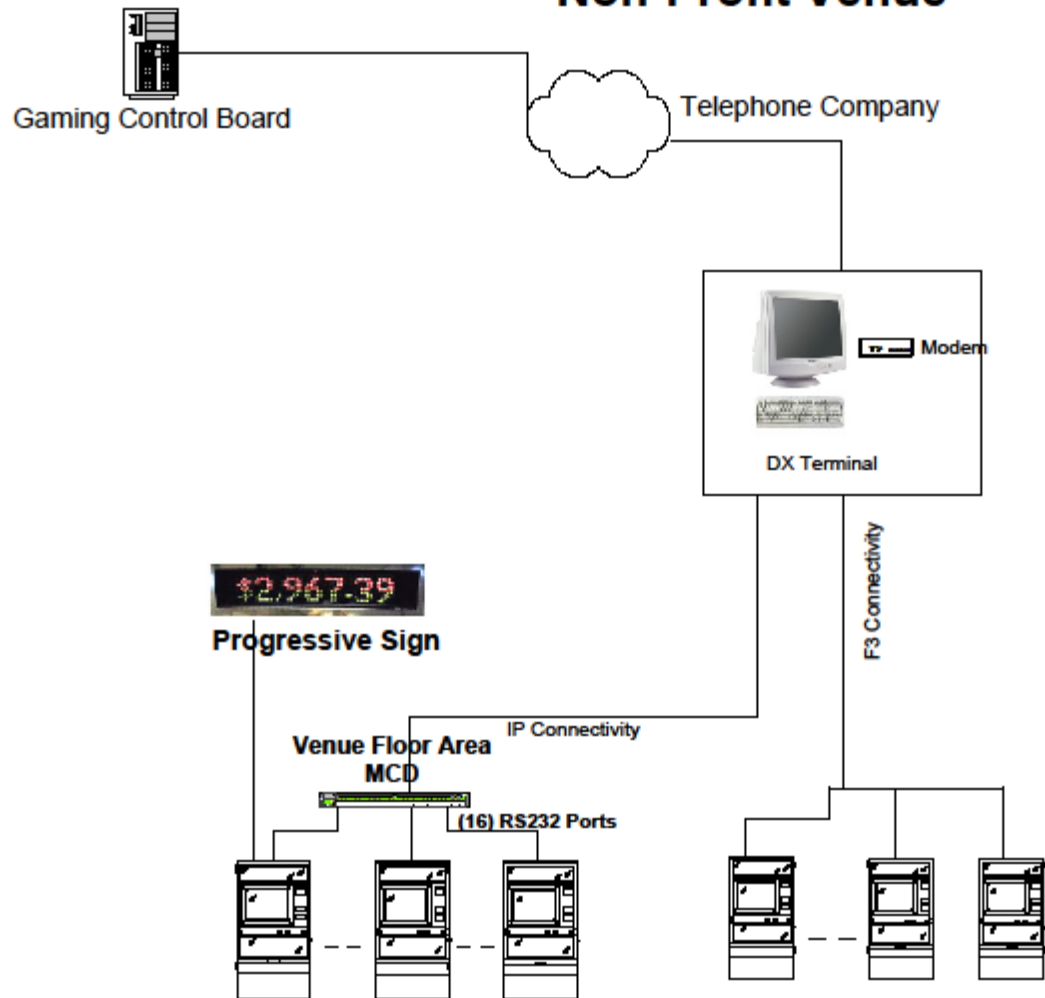
Required by Statute

- **60-2E-43. Gaming machine central system.**
- The board shall develop and operate a central system into which all licensed gaming machines are connected. The central system shall be capable of:
 - A. monitoring continuously, retrieving and auditing the operations, financial data and program information of the network;
 - B. disabling from operation or play any gaming machine in the network that does not comply with the provisions of the Gaming Control Act [60-2E-1 NMSA 1978] or the regulations of the board;
 - C. communicating, through program modifications or other means equally effective, with all gaming machines licensed by the board;
 - D. interacting, reading, communicating and linking with gaming machines from a broad spectrum of manufacturers and associated equipment; and
 - E. providing linkage to each gaming machine in the network at a reasonable and affordable cost to the state and the gaming operator licensee and allowing for program modifications and system updating at a reasonable cost.

Capabilities

- Guarantees the fairness of the game to protect the patron.
- Enables quick patron/venue dispute resolution.
- Ensures that only approved games and machines are offered to the public.
- Immediately calculates the exact amount owed to the State in gaming tax.
- Provides a daily report to each gaming operator licensee detailing actual game play and full accounting of each gaming machine's activity.
- Provides “real-time” regulation; eliminates costly, time consuming, and less accurate audits after-the-fact, significantly reducing the cost of regulation.
- Enhances security by verifying all access to gaming machines.
- Tracks and records notable events generated on the gaming device.
- Permits the State, in extreme circumstances to disable machines/venue.

Non-Profit Venue



AEGIS System Operations

- Daily Routine
 - Verify Batch Processes Succeeded.
 - Address Meter Discrepancies.
 - Identify Non Reporting Terminals; Contact Distributor.
 - Address proposed work for that day (floor changes).
 - Billing period closes and Daily Accounting Runs.
 - Generate Daily VTR's and transmit to licensee by email or fax.
 - Work with licensee's with adds, moves, changes or other issues such as failures.

System Concepts

- Accounting Periods
 - Starting Date/Time to Ending Date/Time
- Billing Periods
 - Monthly, Made up of Accounting Periods
- Meter Reads
 - SAS
 - Catch up if machine operable
 - Sweeps
 - Reconciliation
- Meter Anomaly Checking
 - Deltas, Wraps

AEGIS Reports

- Accounting Reports
 - Redemption Terminal & VLT Reports (VTR)

AEGIS Net Funds and Net Revenue Calculations

- 1) Total Amount Played: PLCT
- 2) Total Amount Won: JPCT + WOCT
- 3) Funds In: CFBT + VIAM + CICT+ PVIA + ERPCT
- 4) Funds Out (Amount Out + Handpay): COCT + VOAM + PVOA + JPCT + HPCC
- 5) Net Revenue: 1 - 2
- 6) Net Funds: 3-4-5-6
- Meter Key
 - CFBT = Total Credits from Bills (cents)
 - CICT = Total Coin In Credits (cents)
 - COCT = Total Coin Out Credits (cents)
 - ERPCT = Electronic Restricted Promotional Credits (cents) (Not Currently Implemented)
 - HPCC = Handpay Cancelled Credits (cents)
 - JPCT = Total Jackpot Credits (cents)
 - PLCT = Played Credits Total (cents)
 - PVIA = Promo Vouchers In, Amount (cents)
 - PVOA = Promo Vouchers Out, Amount (cents)
 - VIAM = Cashable Vouchers In, Amount (cents)
 - VOAM = Cashable Vouchers Out, Amount (cents)
 - WOCT = Total Won Credits (cents)

Aegis - VLCS VLT Revenue Summary Daily Report

12/6/2011

For Accounting Period 12/5/2011 8:41:47 AM
To 12/6/2011 8:41:55 AM

Page 1 of 1

Location: XXXXXXXXXX

Position	Funds In	Funds Out	Net Funds	Amt Played	Amt Won	Net Revenue	Difference
MAI- XXXXXX	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
VLT-F3- XXXXXX	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
VLT-F3- XXXXXX	\$161.00	\$81.50	\$79.50	\$587.50	\$508.00	\$79.50	\$0.00
VLT-F3- XXXXXX	\$53.00	\$33.25	\$19.75	\$90.10	\$70.35	\$19.75	\$0.00
VLT-F3- XXXXXX	\$55.00	\$57.00	(\$2.00)	\$173.25	\$175.25	(\$2.00)	\$0.00
VLT-F3- XXXXXX	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Totals:	\$269.00	\$171.75	\$97.25	\$850.85	\$753.60	\$97.25	\$0.00

Electronic Forms

- Currently available forms in Excel (.xls), Word (.doc) or Acrobat (.pdf) format.
- Forms will be available in one format only, Fillable PDF.
- Adobe Acrobat Reader (free download) will allow data entry and saving to computer.
- Forms available on the GCB website:
 - <http://www.nmgcb.org/divisions/audit/forms/index.html>

Electronic Forms (continued...)

- Benefits:
 - Environmentally Friendly
 - Helps Reduce Errors
 - 100% Legible Text
 - Convenient File Access/Archiving
 - Easy to Update
- A few forms will still require manual entry, Audit & Compliance requirement...

AUDIT & COMPLIANCE

NON-PROFIT TRAINING “GAMING FORMS”

GOALS:

- General Review
- Form Changes Between 2007 and 2010 MICS
- Form Completion Frequency
- Forms Submitted to NMGCB

2007 MINIMUM INTERNAL CONTROL STANDARDS (MICS)

- MICS Approved by the NMGCB Board March 7, 2007.
- MICS Amended June 19, 2007 and July 24, 2007
 - 25 Non-Profit Gaming Forms
 - GC-01NP thru GC-23NP
 - Verification of Winnings of \$1,200 or More Form (Human Services Form).
 - Compulsive Gambling Assistance Plan Reporting Form.

2010 MINIMUM INTERNAL CONTROL STANDARDS (MICS)

- MICS Approved by the NMGCB Board December 15, 2010
- Awaiting Publication
 - 30 Non-Profit Gaming Forms.
 - GC-01NP thru GC-31NP.
 - GC-22NP Weekly Vault Cage/Cage Inventory Form (Form Discontinued, Number NOT Reassigned).
 - Verification of Winnings of \$1,200 or More Form (Human Services Form) Assigned Number GC-29NP.
 - Compulsive Gambling Assistance Plan Reporting Form Assigned Number GC-30NP.

MIC Changes 2007 vs. 2010

- GC-15NP Financial Statements – Eliminated Excel Spreadsheet and Number Reassigned to “Variance Request Form”.
- GC-22NP Weekly Vault/Cage Inventory Form - Eliminated and Number NOT Reassigned.
- GC-24NP Financial Statement Signature Page – New.
 - Rule 15.1.8.13(D) requires financial statements to be signed, simplifies procedure & provides a check list to assist licensees).

MIC Changes 2007 vs. 2010 (cont.)

- Progressive Gaming Machine Forms – New, Allows Distributors to Provide New Machine Option and Greater Variety to Licensees.
 - GC-25NP Progressive Jackpot Begin/Terminate Form.
 - GC-26NP Mystery Jackpot Definition Form.
 - GC-27NP Progressive Controller Access Log.
 - GC-28NP Progressive Daily Meter Reading/ Funds Log.
 - GC-31NP Jackpot Version Change Form.

MIC Changes 2007 vs. 2010 (cont.)

- Verification of Winnings of \$1,200 or More Form (Human Services Form) Assigned Number GC-29NP.
- Compulsive Gambling Assistance Plan Reporting Form Assigned Number GC-30NP.
 - Pre-existing form used by both non-profit and race track gaming operators.
 - Form was split to eliminate confusion as non-profit licensees often attempted to complete the sections required of the race tracks.

General Form Classifications

- Cash Control Forms
- Machine/Drop and Count Controls
- Accounting and Records
- Miscellaneous Forms
- Additional Payout/Promotion Forms
- Progressive Forms

Cash Control Forms

- GC-01NP Cage Cashier Inventory
- GC-02NP Cage Cashier Reconciliation
- GC-03NP Payout/Fill Summary
- GC-04NP Jackpot Payout/Fill Slip
- GC-05NP Vault Transfer Slip
- GC-06NP Vault Reconciliation Form
- GC-23NP Variance Report Form

Machine/Drop & Count Control Forms

- GC-07NP Drop Count Form.
- GC-08NP Hopper/Overflow Count Form.
- GC-12NP Drop and Count Schedule.
- GC-13NP Gaming Machine Access Log (MEAL).

Accounting and Records

- GC-09NP Bankroll Analysis Worksheet.
- GC-10NP Monthly Gaming Summary (Ticket Printers).
- GC-14NP Chart of Accounts.
- GC-16NP Disputed/Unclaimed Jackpot Receipt.
- GC-20NP Tax Adjustment Reporting Form.
- GC-24NP Financial Statement Signature Page.

Miscellaneous Forms

- GC-11NP Signature Card Form.
- GC-15NP Variance Request Form.
- GC-17NP Compulsive Gambling Training Log.
- GC-21NP Temporary Job Change Notification Form.
- GC-29NP Verification of Winnings of \$1,200 or More (Human Services Form).
- GC-30NP Compulsive Gambling Assistance Plan Reporting Form.

Additional Payouts/Promotions Forms

- GC-18NP Additional Payout /Promotion Submittal Form.
- GC-19NP Additional Payout Reporting Form.

Progressive Forms

- GC-25NP Progressive Jackpot Begin/Terminate Form.
- GC-26NP Mystery Jackpot Definition Form.
- GC-27NP Progressive Controller Access Log.
- GC-28NP Progressive Daily Meter Reading/Funds Log.
- GC-31NP Jackpot Version Change Form.

Form Completion Frequency

- Daily
- Weekly
- Monthly
- Annually
- As-Needed Basis

Forms Completed Daily(for each shift)

- GC-01NP Cage Cashier Inventory
 - Documents Cash in the Drawer at the Beginning and End of Each Shift.
- GC-02NP Cage Cashier Reconciliation
 - Summarizes All Activity That Affects the Cash Drawer Balances (Cash IN/Out).
 - Beginning/Ending Balances Reconcile to GC-01NP.
- GC-03NP Payout/Fill Summary
 - Record All Jackpots, Payouts and Hopper Fills Completed During the Shift.
 - Reconciles to the GC-02NP

Forms Completed Weekly

- GC-07NP Drop Count Form
 - Completed in Accordance with the Drop and Count Schedule (GC-12NP) Submitted to the Audit Division.
 - Completed for the End of Month Drop.
 - Completed for any Unscheduled Drops.
 - Documents How the Drop Funds are Distributed (Replenishment of Gaming Funds, Deposit).
 - Submitted to the Audit Division as Part of the Monthly Financial Statement Package to Assist in the Completion of Desk Audits.

Forms Completed Monthly

- GC-08NP Hopper/Overflow Count Form
 - Only Completed if the Licensee has Hopper Machines.
- GC-09NP Bankroll Analysis Worksheet
 - Only required for the First Six (6) Months of Gaming.
 - Assists New Licensees in Determining Bankroll (Cash on Hand) Requirements.
- GC-10NP Monthly Gaming Summary (Ticket Printers)
 - Optional
 - Assist Licensees in Reconciling their Monthly Drop Revenue to the Monthly NMGCB Billing Information

Forms Completed Monthly

- GC-24NP Financial Statement Signature Page
 - A Cover Sheet to Provide the Licensees a Consistent Area in Which to Sign the Gaming Financial Statements.
 - Ensures that the Club Leadership has Reviewed the Information.
 - Provides a Checklist to Ensure All Documents are Included before Submission to the Audit Division.
 - Submitted as the First Page of the Monthly Gaming Financial Statement Package.
 - Submitted by the 28th Day of the Following Month.

Forms Completed Annually

- GC-17NP Compulsive Gambling Training Log
 - Record Annual Recertification of Gaming Staff.
 - Record Initial Training for New Hires.
 - One Form is Used for Each Calendar Year.
 - Submitted to Audit Division as Part of Audit Review.
 - Required by Rule 15.1.18.10 (C).
- GC-30NP Compulsive Gambling Assistance Plan Reporting Form
 - Due March 31st of Each Year.
 - Required Per Rule 15.1.18.11.

Forms Completed on As-Needed Basis

- GC-04NP Jackpot Payout/Fill Slip
 - Required for all Hand Pays
 - Hopper Fills
 - Jackpots of \$1,200 or More
- GC-05NP Vault Transfer Slip
 - When a Separate Vault is Used, Required to Account for All Funds Transferred In/Out of the Vault.
- GC-06NP Vault Reconciliation Form
 - A New Form is Required Whenever Funds are Transferred In/Out of the Vault.

Forms Completed on As-Needed Basis (cont.)

- GC-11NP Signature Card Form
 - Completed for All Gaming Employees Upon Hire.
 - A new Form is Completed if the Employee's Job Description Changes (i.e. Work Permit Cashier Becomes a Key Employee).
 - Forms for New Hires are Submitted to Audit Division as Part of Audit Review.
- GC-12NP Drop and Count Schedule
 - To set an Initial Drop and Count Schedule.
 - Whenever the Initial Drop & Count Schedule Changes, this Includes Unscheduled or Emergency Drops.

Forms Completed on As-Needed Basis (cont.)

- GC-13NP Gaming Machine Access Log (MEAL)
 - Kept inside Each Gaming Machine.
 - Completed Each Time a Slot Machine is Opened and Accessed.
 - Does Not Need to be Completed for Scheduled Drops.
 - Access Codes Added to the Top of the Form to Simplify Completion.
- GC-15NP Variance Request Form
 - Submitted to NMGCB Executive Director to Request a Variance From a Specific MIC.

Forms Completed on As-Needed Basis (cont.)

- GC-16NP Disputed/Unclaimed Jackpot Receipt
 - Record Disputed Jackpots or Unclaimed Jackpots Due to Suspected Machine Malfunctions or Missing/Invalid ID.
 - Submitted to Audit Division.
- GC-18NP Additional Payout /Promotion Submittal Form
 - Advance Notification to the Audit Division if an Additional Payout/Promotion is Planned.
- GC-19NP Additional Payout Reporting Form
 - Notification to the Audit Division of any Additional Payouts Paid Out by the licensee.

Forms Completed on As-Needed Basis (cont.)

- GC-20NP Tax Adjustment Reporting Form
 - Report Additions/Deductions to the Tax Bill for Additional Payouts, Unclaimed Jackpots and Progressive Jackpots.
 - Submitted to Audit Division.
- GC-21NP Temporary Job Change Notification Form
 - Whenever a Gaming Manager or Assistant Gaming Manager Temporarily Performs the Scheduled Duties of a Gaming Cashier in Order to Keep the Game Room Open.
 - Submitted to Audit Division.

Forms Completed on As-Needed Basis (cont.)

- GC-23NP Variance Report Form
 - To Report all Unresolved Variances Within 72 Hours of Discovery.
 - Submitted to the Audit and Enforcement Divisions.
- GC-25NP Progressive Jackpot Begin/Terminate Form
 - Only Used if a Progressive Gaming Machine is Installed in the Game Room.
 - Usually Completed by a Technician Employed by the Distributor.
 - Submitted to the Information Systems Division.

Forms Completed on As-Needed Basis (cont.)

- GC-26NP Mystery Jackpot Definition Form
 - Only Used if a Progressive Gaming Machine is Installed in the Game Room.
 - Usually Completed by a Technician Employed by the Distributor.
 - Submitted to the Information Systems Division.
- GC-27NP Progressive Controller Access Log
 - Only Used if a Progressive Gaming Machine is Installed in the Game Room.
 - Records Access to the Controller.
 - Completed by the Licensee In a Manner Similar to the GC-13NP MEAL Form.

Forms Completed on As-Needed Basis (cont.)

- GC-28NP Progressive Daily Meter Reading/Funds Log.
 - Only Used if a Progressive Gaming Machine is Installed in the Game Room.
 - Completed by the licensee on a Daily Basis.
- GC-29NP Verification of Winnings of \$1,200 or More Form (Human Services Form).
 - Completed for all Jackpots of \$1,200 or More.
 - Original Mailed to the Human Services Department within Seven (7) Days of Jackpot Payout.

Forms Completed on As-Needed Basis (cont.)

- GC-31NP Jackpot Version Change Form
 - Only Used if a Progressive Gaming Machine is Installed in the Game Room.
 - Usually Completed by a Technician Employed by the Distributor.
 - Submitted to the Information Systems Division.

Financial Statements

Submitted on a Monthly Basis

- GC-24NP Financial Statement Signature Page
 - Submitted to the Audit Division by the 28th Day of the Following Month.
 - Includes a Checklist for:
 - Balance Sheet
 - Profit & Loss Statements (monthly)
 - Profit & Loss Statement (year to date)
 - Bank Statements (with front and back deposit and check images)
 - Register/Journal for Each Account

Financial Statements

Submitted on a Monthly Basis (cont.)

- GC-7NPs Drop Count Forms
 - Used to Complete Desk Audits.
 - Reconcile Drop Revenue to NMGCB Billing Figures.
 - Verify Deposit Amounts to Bank Statements.
 - Weekly Drop, Approx. 5 Additional Pages Each Month.
 - Bi-weekly Drop, Approx. 9 Additional Pages Each Month.

Background & Licensing

Nonprofit Gaming Operation

- Board issued nonprofit gaming operator license.
- Gaming Manager – Key & Affiliated Person.
- Gaming Accountant – Key & Affiliated Person.
- Cashier – Work Permit.

Nonprofit Gaming Operator License

- Renewed annually at the anniversary date.
- Due 60 days prior to expiration date.
- No renewal application shall be accepted less than 45 days before the expiration date of the license.
 - Cease gaming activities and file a full application and pay all investigative costs.

Renewal Gaming Operator Application

- \$100 renewal fee with a completed application.
- Most current federal income tax return or extension.
- Compulsive Gambling Plan.
- Organizational Chart of gaming operations.
- Department of Justice Registration.
- Recap of any disciplinary history.
- Evidence of good standing with the PRC.
- GCB checks for judgments or liens against the entity.
- Audit prepares a financial recap on the gaming operations.
- All of this information is presented to the Board for consideration.

Key & Affiliated Persons

- Gaming Manager, Gaming Accountant, Commander, Quartermaster, Officers or others with check writing authority or those directly involved in the gaming activities of the licensee.
- Board issued certification.
- Renewal is due 60 days prior to the expiration date.
- No renewal application shall be accepted less than 45 days before the expiration date of the Finding of Suitability.

Renewal Process for Key & Affiliated Persons

- Submission of renewal application with a \$75 renewal fee.
- Three most current years of federal and state tax forms.
- 2 sets of fingerprint cards.
- Current photos.
- GCB will check for judgments, liens, delinquency in the payment of loans, credit history, review tax statements, disciplinary history, criminal background; etc.
- The Audit & Compliance Division will prepare a recommendation for Gaming Accountants to ensure they have adequate accounting/bookkeeping experience.
- The background information and recommendation form is recapped in report format and presented to the Board for consideration.

Notifications Required by Key & Affiliated Persons

- New Key Person – Face sheet no later than 96 hours after the first day of employment as a Key Person. The completed application is due 30 days after notification.
- Termination of a Key Person – within three business days by completion of the separation of employment form.
- Key Applicant decides not to pursue licensure - the licensee or applicant must notify licensing of the intent to withdraw the application in writing.
- Key person changes title in current venue – completion of a Key Person Update Application is necessary.
- Key Person chooses to work at an additional GCB licensed venue in a key position – Completion of a Key Person Update Application is necessary.

Work Permits

- Cashiers/Bartenders.
- Renewal application is due 10 days prior to expiration.
- Permit is issued at staff level.
- May work on a provisional license with the submission of a completed application.
- Must surrender work permit if the Licensee moves into a Key position in that same entity.

Renewal Process for Work Permits

- Submission of renewal application with a \$75 renewal fee.
- 2 sets of fingerprint cards.
- Current photos.
- GCB will check for judgments, liens, delinquency in the payment of loans, credit history, disciplinary history, criminal background; etc.
- Satisfactory background, a badge is issued to the applicant .

Notifications Required by Work Permits

- Work Permit elects not to pursue the issuance of a work permit, a written notice should be sent to the GCB by the applicant or licensee.
- Termination of a work permit – required within three business days by the licensee.
- Work Permit may work at additional GCB licensed venues with the completion of the work permit registration form.
- Work Permit is inactive for 90 days - complete the separation of employment form.

Required Notifications

- Changes of address and phone numbers within 15 days of the change.
- Changes in gaming titles within 10 days of the change.
- Lost or stolen gaming badge - completion of replacement badge form and \$10 fee.
- An arrest, charge, or conviction regardless of the class of the crime – notification with supporting documentation within 10 days of the arrest, summons or conviction.
- A delinquent or default judgment on any government issued student loan must be provided within 30 days of the judgment or default.
- A tax lien or an assessment with a State or Federal Tax authority – notification within 30 days.
- Bankruptcy filing – documentation within 30 days of filing date.

Required Notifications

- A nonprofit gaming operator and distributor jointly shall submit any contract or lease agreement for review not less than 30 calendar days before the contract goes into effect. This also includes amendments of an existing contract or lease agreement.
- A nonprofit gaming operator must the notify the GCB if they intend to cease gaming operations for 7 days but not to exceed 90 days. Must notify the licensing division for both temporary closure and re-opening of gaming operations by completion of the Closure/Re-Opening of Gaming Operations form.
- A nonprofit gaming operator must submit payment by the date requested for the renewal machine decals. This provides adequate time to secure payment and send the decals for placement by January 1st of the new year.

ENFORCEMENT

Enforcement

- Gaming is a privilege granted to non-profits.
- Compliance with statutes and rules are required to maintain this privilege.
- Organization and management are responsible for compliance and knowledge of MICs as well as Rules and Regulations.

Compliance not Discipline

- The NMGCB is looking for compliance, not an excuse to cite. Communication is paramount.
- Warnings can be given for minor first time incidents.
- Two monthly inspections, enforcement presence with audit inspections.

Vetting Process

- Citations issued by Enforcement or Audit.
- Did the organization take action?
 - Discipline Employee
 - Retrain
 - Self Reporting
 - Measures taken to prevent second violation
- Citation reviewed by Supervisor.
- Citation sent to vetting committee.
- Licensees encouraged to submit written material to staff or to appear in person to the board.

Vetting Committee

- Division Directors and legal counsel.
- Assigned agent and auditor.
- Committee will discuss prior violations, the effort to improve and opinions of the agent and auditor assigned to the non-profit.
- Results can be strongly worded letter, individual or organization responsibility or forwarded to the board for decision.

What Are We Looking For?

Premise Inspection:

- Current licensure
- Employee badges
- Licensed machines
- Members only gaming
- Underage gaming
- 30 days surveillance footage
- Adequate surveillance operations
- Minimum bank roll requirement
- Signature cards
- Checkbooks and pre-signed checks
- Any other items deemed necessary by board
- Potential criminal activity
- Overall compliance with requests

Surveillance Modification

Surveillance Modification When is it necessary?

- Change of surveillance equipment.
- Video or DVR replacement.
- Camera movement.
- The assurances that all necessary areas are covered upon change including;
 - Cash drawer
 - Machines
 - Drop and count
 - Keys storage area



SURVEILLANCE MODIFICATION REQUEST

Entity: _____ License #: _____

Address: _____

Person Completing Form

Name: _____ Phone #: _____

Signature: _____ Date: _____

Distributor: _____

Explanation of surveillance modification: _____

Reason for surveillance modification: _____

Explanation of Equipment Used and/or Replaced: _____

Date of Modification to be Completed: _____

Gaming Room Floor Plan Submitted: Yes No

Enforcement Division Review

Date of Review: _____ Approved Disapproved

Enforcement Personnel Name: _____ Date: _____

Notes: _____

15.1.10.23

SURVEILLANCE SYSTEMS:

D. A licensee shall not make any changes to its approved surveillance plan without prior written approval by the board or its designee. Before implementing any changes to a surveillance system plan, the licensee shall submit the proposed changes on forms approved by the board to the board or its designee for approval. If, after reviewing the gaming operator licensee's proposed changes, the board or its designee determines that the proposed plan is not adequate, it shall notify the gaming operator licensee in writing. The gaming operator licensee shall revise the proposed plan and submit it to the board for approval or request a hearing within 30 days after receipt of the board's written notice.

Premise Modification

➤ Premise Modification

- When is it necessary?
- Number of machines .
 - Increase, decrease, or replacement.
 - Inspection of machines is required.
- Game room floor
 - modified or changed.
- Vaults, lock boxes or cash drawers.



PREMISE MODIFICATION REQUEST

Entity: _____ License #: _____

Address: _____

Person Completing Form

Name: _____ Phone #: _____

Signature: _____ Date: _____

Distributor: _____

Explanation of game room modification: _____

Date of Modification to be Completed: _____

Gaming Room Floor Plan Submitted: Yes No

Enforcement Division Review

Date of Review: _____ Approved Disapproved

Enforcement Personnel Name: _____ Date: _____

Notes: _____

Information Systems Division Review

Date of Review: _____ Approved Disapproved

IS Personnel Name: _____ Date: _____

Notes: _____

15.1.6.11 MODIFICATION OF LICENSED PREMISES:

A. No licensee shall modify its licensed premises without obtaining the prior written approval of the board. As used in this section, modification does not include painting walls or installing or removing flooring, as long as the placement of gaming machines on the licensed premises is unchanged.

B. Application to modify the licensed premises shall be made to the board and submitted with the non-refundable application fee set forth in the application. The application must include a detailed diagram showing the proposed location of each gaming machine after the modification. The board, in its discretion, may waive the non-refundable application fee if it determines that the change is not substantial.

C. No application for modification of a licensed premise shall be approved unless the licensed premises, as modified, meets all the requirements of the act and this rule.

D. Modification of a licensed premise includes changing the location of gaming machines on the licensed premises. Any licensee seeking to change the location of gaming machines on the licensed premises shall submit an application to modify the licensed premises to the board.

[N. 11/30/98; 15.1.6.11 NMAC – Rn, 15 NMAC 1.6.11, 10/15/00; A, 2/28/05]

Voluntary Closure

➤ Voluntary Closure Form

- Used in the event your club is closed for more than 7 days but not more than 90 days.
- The NMGCB must be notified of all game room closures and the reason for those closures.

- The ceasing of game room activities does not relieve the licensee of its gaming obligations to pay taxes, charities, fines or fees, or to submit any information required as a result of engaging in gaming activities.
15.1.10.43 (E) NMAC.



New Mexico Gaming Control Board
Background & Licensing Unit

**NOTICE OF VOLUNTARY CLOSURE/RE-OPENING
OF GAMING OPERATIONS**

Instructions: This form is to be completed if licensee intends to cease gaming operations for seven (7) days or longer. **Prior approval is required for both closure and re-opening of gaming operations.** Please submit this form prior to each event. If the closure is temporary, then provide a requested date for re-opening of gaming operations. A temporary closure is the cessation of gaming operations for more than seven (7) days but not exceeding ninety (90) days with prior approval. Please return to: Background & Licensing Unit, 4900 Alameda Blvd. NE, Albuquerque, NM 87113 (FAX: 841-9725)

Check applicable status: TEMPORARY CLOSURE PERMANENT CLOSURE RE-OPEN

Rule 15.1.10.43 NMAC Cessation of Gaming activities; Surrender and Cancellation of License, requires that any licensee that ceases gaming activities for more than seven (7) consecutive days and has not requested or received authorization from the board under rule 15.1.10.43 (B) NMAC, must surrender its license to the board within ten (10) days of ceasing those activities. **Please include current game room/surveillance floor plan when re-opening and note any modifications.**

Licensee Name: _____ License Control Number: _____

Gaming Manager: _____	Business #: _____	Home #: _____
Gaming Accountant: _____	Business #: _____	Home #: _____
Work Permit: _____	Business #: _____	Home #: _____

Requested Date of Closure/Re-opening: _____
If Temporary, Length of Closure: _____

Reason for Closure: _____

The ceasing of gaming activities does not relieve the licensee of its gaming obligations to pay any taxes, charities, fees or fines, or to submit any information required as a result of engaging in gaming activities, 15.1.10.43 (E) NMAC.

GCB Approval: _____ Date: _____

Criminal Investigations

- Agents of the NMGCB are also responsible for the investigation of all criminal violations that may take place within a gaming entity.
- These cases can be prosecuted in the jurisdiction investigated.

Safe Guarding Assets

- Cashiers be aware of surroundings. Do not leave cash drawer open or unattended. Cash drawers must be under surveillance.
- Ensure all doors are secured during drop and count.
- Ensure all safes and money storage are secured and under surveillance.
- Ensure correct change/payouts are given to customers.
- Make a mental note of unfamiliar individuals in club.