
CHAPTER 388
GAMING
GAMING RULES

ARRANGEMENT OF RULES

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GAMING RULES

S.I. 94/2015

(SECTION 82)

*[Commencement 2nd December, 2015]***PART 1: RULES FOR CASINO OPERATIONS****CHAPTER 1 - DEFINITIONS**

1. These Rules may be cited as the Gaming Rules. Citation.
2. Any word or expression used in these Rules which is defined in the Gaming Act or the Regulations made thereunder shall have the meaning assigned to it therein, unless it is otherwise defined in these Rules or the context otherwise indicates — Definitions.
 - “Act” means the Gaming Act, Ch. 388;
 - “acting capacity” means a situation in which an employee temporarily performs a job or function other than the job or function normally assigned to that employee but excludes instances in which an employee is being trained in a position under supervision;
 - “announced bet” means a wager made without chips or cash;
 - “cards” means playing cards used in a table game to determine the outcome of that game;
 - “cash desk” means any physical structure immediately adjacent to a designated gaming area that houses cashiers and serves as a location in the casino for—
 - (a) the custody of the cash desk inventory, comprising currency including patrons’ deposits, coins, patron credit instruments, chips, forms, documents and records currently in use and normally associated with the operation of a cash desk;
 - (b) the approval, exchange, redemption, and consolidation of patron cheques received for the purposes of gaming;

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- (c) the distribution to patrons and redemption from patrons, of gaming chips, tokens or other value instruments; and
 - (d) the issue, receipt and reconciliation of imprest funds used in the acceptance of currency and coupons from patrons in exchange for currency;

“cash equivalents” means —

- (a) guaranteed cheques, personal cheques, cashier’s cheques, recognised travellers cheques or recognised money orders, any of which are made payable to the licence holder or to the bearer thereof; and
- (b) recognised credit and/or bank cards;

“cash redemption terminal” or “CRT” means any terminal or kiosk at which patrons may redeem tickets for cash, which may provide note-breaking functionality;

“communication interface” means the approved hardware and software that a gaming device uses for communication between itself and other components or devices in accordance with the standards referred to in regulation 40(1) of the Gaming Regulations;

“controlled stationery” means all numbered stationery, defined as such, in terms of these Rules or the internal control system of the holder of a gaming licence;

“conversion” means a change in a slot machine or electronic table game from one approved configuration to another approved configuration or from one approved mode of play to another approved mode of play;

“dispute” means any disagreement between a patron and a licence holder relating to a gaming-related procedure, the outcome of a gambling game or a payout;

“drop box” means—

- (a) in relation to table games, a locked container permanently marked with the game, shift (if applicable) and number corresponding to a permanent number of

the table, into which all currency exchanged for chips or credit instruments at the table and all other documents pertaining to transactions at the table must be placed; and

- (b) in relation to gaming machines, a container in a locked portion of the machine or its cabinet used to collect the money and tokens which are retained by the machine and are not used to make automatic pay-outs from the machine, which container is permanently marked with the number of the machine, but excludes a canister;

“Digital Video Library (“DVL”)” means the location at which the Surveillance Department archives or stores all required footage, whether physically or on an electronic system;

“Electronic Occurrence Book” means an electronic record-keeping system in which significant occurrences or incidents relating to the operation of a casino and all events or information which, in terms of the Rules or a licence holder’s internal control standards must be reported to, or recorded by the Surveillance Department, are recorded;

“Electronic Poker Table Game” means a gaming device or system whereby patrons can play poker games against the licence holder, or against one another;

“EMS” means an electronic monitoring system approved by the Board;

“establishment” means any premises where business is conducted pursuant to a licence issued by the Board, and includes all ancillary businesses and buildings, improvements, equipment and facilities used or maintained in connection with such businesses;

“estimated drop” means the dollar amount of cash, any voucher or document used to purchase chips and plaques deposited into the drop box as recorded by the table game supervisor;

“fair play” means ensuring the conduct of gaming or any gaming-related activities between a licence

holder and a patron in compliance with all approved procedures and the provisions of these Rules in respect of such gaming;

“funds” means money or any other instrument of value;

“gaming cash dispensing machine” means a system or device whereby a patron issued with a player card may —

- (a) deposit funds to the credit of such card or account;
- (b) withdraw or redeem funds in terms of a credit balance regarding such card and account, but excludes an Automated Teller Machine (ATM) on which banking transactions may be performed;

“gaming chips” include the following —

- (a) “non-negotiable chip” means a gaming chip which cannot be exchanged for cash or other gaming chips and can only be issued to play a gaming game at a casino subject to certain terms and conditions;
- (b) “non-value chip” means a gaming chip which has no face value and is normally associated with the colour chip float on a Roulette table, and includes, without limitation, a “wheel check” and a “colour chip”;
- (c) “plaque” means a gaming chip normally representing the value of a buy-in or used as part of the float for certain table games, including, without limitation, Baccarat, as specified in the internal control standards of a licence holder;
- (d) “promotional chip” means a gaming chip which may be used for a purpose specified in a licence holder’s internal control standards, a specific promotion or a specific period at a casino, which has a restricted use, issue and negotiability in terms of the conditions under which it is issued;
- (e) “special use gaming chip” means a gaming chip other than a value chip or a non-value chip and includes, without limitation, a

“non-negotiable chip” and a “promotional chip”; and

- (f) “value chip” means a gaming chip, which has a face value that is accepted within the casino environment as a means by which a wager can be placed, paid out and redeemed;

“gaming day” means an accounting period, not exceeding 26 hours, representing one operating day in the operation of a casino, which begins and terminates at such times as are specified in a licence holder’s ICS;

“gaming-related” refers to any procedure, transaction, system, database, software, control, employee, equipment or Information having a direct or indirect bearing on the conduct of licensed gaming, the result of a gambling game, the calculation of gaming tax or fair play;

“gaming-related device” means any device, other than a gaming device as defined in the Act, which is used in the conduct of gaming and which may have an influence on the outcome of a gambling game or on fair play, including automated card shuffling devices;

“gaming-related systems” includes all electronic systems, other than the EMS, which are used to generate, record, communicate, verify or store gaming and gaming-related information for reporting purposes as approved by the Board in terms of the Act;

“game outcome” means the final result of a wager;

“handle” means the total dollar value of coins, tokens and credits wagered on a slot machine or table game betting station or an electronic poker table game;

“hopper” means the coin or token dispensing device in a slot machine or a table game betting station;

“ICS” means the approved internal control standards of a licence holder containing the gaming-related provisions prescribed by the Act or required by the Board and includes, without limitation, all gaming-related policies,

operating, administrative and accounting procedures and standards of the licence holder;

“incompatible function” means a function which places any employee or department in a position both to commit an error or irregularity or to perpetrate a fraud and to conceal such error, irregularity or fraud, which occurs, without limitation, where employees are members of separate departments that are not supervised independently of one another;

“IT” means Information Technology;

“jackpot” means any money, merchandise, object of value or any other consideration whatsoever specified or otherwise offered by the licence holder or indicated on a gaming device as a jackpot to be paid to a patron as the result of attaining a specific winning combination or combinations of characters indicated on a slot machine, table game betting station or cards dealt in a table game or mystery jackpot;

“jackpot controller” means a device which collects data from gaming devices and is used to control, manage and administer progressive or mystery jackpots;

“journal entry” means any change that is made to electronic gaming-related financial records;

“LAP” means a local area progressive jackpot, in respect of which all slot machines or table games electronically linked to a progressive jackpot, are located and administered on one licensed premises;

“licence holder” means the holder of a gaming licence, as referred to in section 39 of the Act;

“LOC” means a letter of certification, issued by a registered testing laboratory, certifying that a gaming device complies with the applicable norms and standards in respect thereof;

“logic area” means a secure cabinet within a slot machine or table game betting station that houses the master processing unit and electronic components having the potential to influence the outcome of the gambling game or the

communication of the slot machine with the electronic monitoring system;

“management decision” means a decision made by a licence holder to pay out a patron in respect of a game, other than in accordance with the provisions of its ICS or the Act, notwithstanding that —

- (a) a legal or winning bet was not tendered or placed by the patron; or
- (b) due to an error of whatsoever nature, the exact outcome of the game cannot be determined; and
- (c) pursuant to which the patron receives any payment of a prize or value, over and above what is legally owed to a patron in terms of the rules of such game;

“modification” means a change or alteration to an approved slot machine or table game betting station which affects the manner or mode of play of such device, including a change to control graphics programmes and a change in the theoretical hold percentage, otherwise than as provided for in paragraphs (d) and (e), but excluding —

- (a) a game conversion;
- (b) the replacement of an approved component;
- (c) the rebuilding of a previously approved device with approved components;
- (d) a change in the theoretical hold percentage of a slot machine, provided that the slot machine meets the prescribed requirements after such change has been effected; and
- (e) a change in the theoretical hold percentage of a slot machine as a result of the payment of a prize not accounted for by such machine;

“monitoring” means the recording of an activity or area by means of a camera linked to the licence holder’s surveillance system;

“mystery jackpot” means any money, merchandise, object of value or any other consideration whatsoever specified or otherwise offered by

the licence holder as a jackpot which may be paid to a patron when independently triggered as being so payable by a RNG (Random Number Generator);

“non-banking casino game” means a gambling game in which the licence holder is not party to the wager other than to facilitate the game and from which the licence holder may receive compensation in the form of a rake-off, a time buy-in, or any other fee or payment;

“observation” means the physical viewing of an activity or area by a member of the Surveillance Department, via the licence holder’s surveillance system;

“occurrence book” means a register maintained by the Gaming Security Department, in which significant occurrences or incidents relating to the operation of the casino are recorded;

“other value instrument” means an instrument other than a chip or token representing value, with which wagering is conducted;

“player card” means a card issued to a patron by a licence holder for the use in a casino as an instrument by means of which —

- (a) funds are deposited by such a patron to the credit of such card or account linked to such card;
- (b) funds standing to the credit of such card or account linked to such card are withdrawn or redeemed by such patron; or
- (c) gaming transactions are conducted by such patron against funds standing to the credit of such card or account linked to such card;

“progressive jackpot” means the amount advertised and payable for a winning combination of numbers, playing cards, symbols, pictures, figures, events or similar representations capable of being generated by a slot machine, the EMS or dealt on a table game, with a payout that increases automatically over time or as the machine or game is played and includes mystery jackpots, which are not necessarily displayed;

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- “rake-off” means a percentage of the total amount anted and wagered by a patron in a card game;
- “recorder” means a device used to record the image of surveillance cameras onto storage media for reviewing purposes;
- “Return to Player (RTP)” for slot machines means the ratio of total winnings to the total handle and is calculated by dividing the total amount won by patrons on a slot machine over a certain period by the total handle on that slot machine over the same period, expressed as a percentage;
- “SBGS” means Server-based Gaming Systems and include, but are not limited to —
- (a) gaming devices comprised of a collection of conventional gaming devices or client stations connected to a system for the purposes of downloading games or control programs but capable of operating independently such that the game outcome is determined by the gaming device or terminals and not by the system;
 - (b) gaming devices comprised of a server or system part and terminals that, together, form a single integrated device where the system portion of the game determines the outcomes of the individual games conducted on the terminals and the terminals cannot operate independently from the system, where the gaming devices and the servers are located on the same licensed premises;
- “shift” means a work period of a group of employees including those employees conducting and supervising the operation of the mandatory departments prescribed by the Rules, working in relay with another such succeeding or preceding group of employees within specific time frames, as determined by a licence holder;
- “sleeper bet” means a bet 1ECT on a table game which is not removed from the table layout and becomes a wager on the next succeeding game;

“Slot Machine Supervisor” means a person employed by a licence holder in its Slot Machine Department in a supervisory capacity or who is empowered to make discretionary decisions which may influence the operation of the Slot Machine Department and includes, without limitation, a Senior Floor Attendant, Senior Technician, Shift Manager, Duty Manager, Assistant Manager, and the Manager;

“slot short” means a document used to record short pay, special pay, jackpot, progressive jackpot, credit win and supplementary prize payout to patrons and includes hopper fill;

“supplementary prize” means a pay-out or award, other than a progressive jackpot, advertised and payable for a winning combination of numbers, playing cards, symbols, pictures, events, figures or any similar representations in a gaming game, not reflected on the pay table of a slot machine or table game in respect of which the prize is won;

“supplier” means the holder of a supplier licence referred to in section 47 of the Act;

“table game betting station” means a terminal linked to a gaming table where all wagers are placed and winnings paid out by electronic means only;

“Table Game Supervisor” means a person employed by a licence holder in its Table Game Department in a supervisory capacity or who is empowered to make discretionary decisions which may influence the operation of the Table Game Department and includes, without limitation, an Inspector, Pit Boss, Shift Manager, Duty Manager, Assistant Manager and the Manager;

“time synchronisation” means an electronic system implemented to ensure that time synchronisation between the EMS and the Surveillance System is maintained, and where time means; day, date, hours, minutes and seconds;

“ticket” means any ticket generated by a TITO system, unless otherwise specified;

“TI system” means any system that accepts and verifies tickets using a ticket-in reader;

“TITO system” means a combination of a TI (ticket-in) device or system and TO (ticket-out) device or system;

“TO system” means any system that prints tickets in the appropriate format, reflecting on the face thereof the value of any gaming credits transferred out of a gaming machine or gaming device by a patron, that can be redeemed at the Cash Desk or at a cash redemption terminal or reinserted into a TI system or TITO system for use in gaming;

“UPS” means an uninterruptible power supply;

“value stationery” means—

- (a) any document representing value which may, in terms of the conditions set forth therein, be exchanged for cash or cash equivalents or used as a wager during game play; and
- (b) any source document utilised to calculate gaming revenue;

“VTL” means a surveillance video tape library;

“wager” —

- (a) when used as a noun, means a sum of money or other object of value risked or staked on the outcome of a gambling game; and
- (b) when used as a verb, means to risk or stake a sum of money or other object of value on the outcome of a gambling game; and

“working day” means any day excluding weekends and public holidays.

CHAPTER 2 - ORGANISATIONAL STRUCTURE, JOBS COMPENDIUM AND STAFFING LEVELS

3. (1) Every licence holder shall implement and maintain an organisational structure consisting of executive

Organisational structure.

management, departments, divisions, sections and jobs ensuring —

- (a) the segregation of incompatible functions into independent departments, divisions, sections and jobs;
- (b) the creation of a clear chain of command;
- (c) the continuous authorisation and supervision of gaming and related activities; and
- (d) the division of responsibility and accountability so as to prevent any area of accountability or responsibility to become so extensive that it becomes impractical for one person to perform, supervise or control.

(2) A diagram of the licence holder's gaming-related organisational structure shall be deemed to be part of the ICS and shall clearly indicate —

- (a) titles of each department, division, section and job;
- (b) all executive management positions having the authority to influence the operation of the casino, departments, divisions, sections and jobs; and
- (c) the direct and indirect lines of authority within the organisational structure, reflecting the chain of command.

(3) A licence holder shall at all times maintain staffing levels in a manner which ensures the proper operation and effective supervision of all gaming and related activities.

(4) The Board may order a licence holder to utilise higher levels of staffing than those provided for in these Rules or contained in its ICS if in the opinion of the Board this is reasonably necessary for the proper conduct, supervision and control of any gaming-related activity.

(5) The organisational structure of a licence holder shall provide for the following independent mandatory departments —

- (a) a Slot Machine Department, which shall —
 - (i) be responsible for all slot machines on the licence holder's premises, including the

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- day-to-day operation and maintenance thereof;
- (ii) ensure the integrity, validity and accuracy of all slot machine information; and
 - (iii) not be involved in the slot machine count process or be able to alter data utilised by it;
- (b) a Table Game Department, which shall —
- (i) be responsible for all table games conducted on the licence holder's premises, including the day-to-day operation and conduct thereof;
 - (ii) ensure the integrity, validity and accuracy of all table game information; and
 - (iii) not be involved in the table game soft count process or be able to alter data utilised by it;
- (c) a Casino Accounting Department, which shall be responsible for the day-to-day operation of the gaming-related administrative and financial functions and for the following independent functions —
- (i) cash desk;
 - (ii) clearance and count; and
 - (iii) casino administration;
- (d) a Surveillance Department, which shall —
- (i) implement and maintain a surveillance system in accordance with the provisions of the licence holder's ICS and the Act;
 - (ii) monitor, record and observe all areas and activities that are required to be monitored, recorded and observed in terms of the licence holder's ICS and the Act;
 - (iii) monitor and measure the level of compliance with the day-to-day gaming-related operational provisions of the licence holder's ICS and the Act;
 - (iv) compile and maintain a risk analysis in respect of day-to-day gaming and gaming-related activities;
 - (v) evaluate and analyse trends upon the identification thereof and make recommendations on the improvement of procedures, systems and internal control standards and the effective utilisation of

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- resources in order to enhance the level of compliance;
- (vi) perform audits and investigations prescribed in terms of these Rules;
 - (vii) investigate, record and report all disputes, as defined in the Rules, subject to the Board's power to resolve disputes which cannot be resolved at an operational level; and
 - (viii) investigate, record and report upon —
 - (aa) instances of non-compliance with the provisions of the licence holder's ICS or the Act; and
 - (bb) suspected illegal gaming-related activities within the casino operation;
 - (e) a Gaming Security Department, which shall secure gaming-related assets and manage the access controls; and
 - (f) an Information Technology (IT) Department, which shall install and maintain all gaming-related systems and the EMS, ensuring the quality, reliability, communication, security and backup of all such systems and electronic data used by the licence holder in the conduct of its casino.
- (6) In addition to the provisions prescribed in this rule, the mandatory departments shall perform such further duties and responsibilities as are assigned to them in the licence holder's ICS and/or the Act.
- (7) A licence holder shall not commence any gaming operations unless the Board has approved its organisational structure.
- (8) A licence holder shall not amend or implement any amendments to its approved organisational or personnel structures without the prior written approval of the Board.
- (9) The Board may approve the combination of certain departments or supervisory positions if the licence holder is able to demonstrate compliance with the provisions of these Rules.
- (10) The licence holder may not outsource any of the functions assigned to the mandatory departments by the

licence holder's ICS or the Regulations without the prior written approval of the Board.

(11) The licence holder shall, within five working days after the conclusion of every month, submit an employee movement report to the Board indicating in respect of the preceding month —

- (a) all newly appointed key or gaming employees;
- (b) all licence renewals in respect of key or gaming employees;
- (c) all key or gaming employees who 1ECT the employment of the licence holder (including reasons for the termination of their employment);
- (d) all persons in acting capacities;
- (e) all promotions or demotions in respect of key or gaming employees;
- (f) all transfers in respect of key or gaming employees; and
- (g) all name and surname changes in respect of licensed employees.

(12) The licence holder shall, within five working days after the conclusion of every quarter submit a report to the Board reflecting all vacant posts per department and position in the said period.

(13) The licence holder shall, within five working days after the conclusion of every twelve months, submit a report to the Board indicating in respect of each mandatory department—

- (a) the number of employees allocated to each position;
- (b) the relevant experience of each employee in his or her position;
- (c) relevant experience of all employees in the same position;
- (d) the experience of each employee in the relevant department;
- (e) average experience of all employees in such a position, in the relevant department; and
- (f) the staff turnover for the preceding twelve months in the relevant position in each position prescribed in respect of such department by these Rules.

Jobs
Compendium.

4. (1) A licence holder shall prepare and maintain in its ICS a jobs compendium that complies with the provisions of this Chapter in respect of all positions which by their nature are engaged in gaming and gaming-related activities.

(2) A jobs compendium shall comprise a description of each job which accurately corresponds to the position title as reflected in the organisational structure. Each job description shall be on a separate page or document, shall be organised by department, division or section and shall include—

- (a) a table of contents listing the position title, job code (if applicable) and the page number on which the job description referred to in paragraph (2)(b) may be found; and
- (b) the relevant position title, job code and corresponding department, division or section;
- (c) direct and indirect reporting lines and the nature and extent of authority over subordinates;
- (d) the duties, responsibilities and the limitations in respect thereof; and
- (e) the type of licence required to be issued in respect of the specific position.

(3) A licence holder shall not commence any gaming operations unless the Board has approved its jobs compendium.

(4) A licence holder shall not amend or implement any amendments to its approved jobs compendium or allocate additional gaming-related duties to employees over and above the duties allocated to them in terms of the Act and its ICS, without the prior written approval of the Board.

(5) Whenever any delegation, function or duty is assigned to the incumbent of a particular position in terms of these Rules, such delegation, function or duty shall be capable of being performed by an employee in a higher position, provided that no incompatible functions arise as a result of the performance thereof.

(6) The Board may order a licence holder to utilise higher levels of staffing if in the opinion of the Board it is necessary for the proper conduct and effective supervision and control of any gaming-related activity.

(7) The licence holder shall ensure that only adequately trained or experienced and appropriately licensed employees are utilised in the positions indicated on the organisational structure.

5. (1) An employee shall not serve in an acting capacity in a position which is more than one level higher on the organisational structure than the position actually assigned to that employee. Acting Capacity.

(2) In the event of an employee serving in an acting capacity in a lower position than that employee's actual position, that employee shall be supervised only by an employee with an equal or higher position than that employee's actual position.

(3) In the event that an employee is undergoing training in a specific position, such employee may not act in a position higher than the position in respect of which the training is being provided.

(4) An employee shall not serve in an acting capacity unless the position in which he or she is required to act is vacant or the current incumbent of that post is absent from work.

(5) No position shall be filled by a person in an acting capacity for more than 15 shifts in any calendar month, without the prior approval by the Board.

(6) If the situation referred to in paragraph (5) above arises, the relevant employee's head of department shall authorise, in writing, such employee to serve in an acting capacity and shall inform the Human Resources and Surveillance Departments.

(7) The relevant employee shall complete the required documentation to request the allocation of user access rights on the EMS and gaming- related systems and such document shall be signed by such employee, the relevant head of department and a representative of casino administration.

(8) The Surveillance Department shall record all instances where employees in operational mandatory departments, are serving in acting capacities, including the reason for such service, in the Electronic Occurrence Book.

(9) No employee shall simultaneously perform the functions allocated to more than one position for any time during that employee's shift.

(10) The licence holder shall ensure that only adequately trained or experienced and appropriately licensed employees are utilised to serve in acting capacities.

Categories and levels of staff required.

6. A licence holder's organisational structure and jobs compendium shall provide for the following categories of staff—

- (a) in its Slot Machine Department—
 - (i) Slot Machine Technicians, who shall repair and maintain slot machines. Slot Machine Technicians shall report directly to a Slot Machine Technical Manager or, in the absence of a Slot Machine Technical Manager, directly to the Slot Machine Manager, and shall operate independently of Slot Machine Attendants;
 - (ii) Slot Machine Attendants, who shall be responsible for the operation of slot machines, including participating in slot short pay-outs and hopper fills;
 - (iii) Slot Machine Supervisors, who shall supervise the operation of all slot machines. In the absence of the Slot Machine Manager or, where applicable, the Assistant Slot Machine Manager, the Slot Machine Supervisor shall have the authority of the Slot Machine Manager; and
 - (iv) a Slot Machine Manager, who shall—
 - (aa) supervise and manage the overall operation of the Slot Machine Department, including participation in the appointment and termination of employment of all Slot Machine Department employees; and
 - (bb) ensure that the structure and operation of Slot Machine Department complies with the licence holder's ICS and the Regulations;
- (b) in its Table Game Department—
 - (i) Dealers, who shall be assigned to each table game to directly operate and conduct such table game;

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- (ii) Inspectors, who shall be the first level of supervision, and who shall directly supervise the operation and conduct of table games, other than table games where all wagers are placed and winnings paid out by electronic means only;
 - (iii) Pit Bosses or Duty Managers, who shall be the second level of supervision, and who shall supervise the operation and conduct of a such number of table games as may be required or approved by the Board; and
 - (iv) a Table Game Manager, who shall —
 - (aa) supervise and manage the overall operation of the Table Game Department, including participation in the appointment and termination of employment of all Table Game Department personnel; and
 - (bb) ensure that the structure and operation of the Table Game Department complies with the licence holder's ICS and the Act.
- (c) in its Surveillance Department —
- (i) Surveillance Operators, who shall observe, investigate and record activities specified by the licence holder's ICS and the Act, provided that, during casino operating hours a ratio of one surveillance operator to five monitors shall be maintained to monitor the views required in terms of the Rules, and provided further that surveillance monitoring shall not be required in respect of —
 - (aa) closed gaming tables;
 - (bb) closed slot machine areas;
 - (cc) closed Cash Desk windows and vault areas; and
 - (dd) count rooms and storage areas where no uncounted drop is stored, secured or counted;
 - (ii) Surveillance Shift Managers, who shall supervise the Surveillance Operators on a shift and ensure that the surveillance system is functioning in accordance with the

provisions of the ICS and the Act during the shift;

- (iii) a Surveillance Investigator, who shall be responsible for the investigation of exceptions, performance of prescribed audits, risk analyses and trend analyses; and
- (iv) a Surveillance Manager, who shall —
 - (aa) supervise and manage the overall operation of the Surveillance Department including participation in the appointment and termination of employment of all Surveillance Department personnel;
 - (bb) ensure that the structure and operation of the Surveillance Department and the functioning of the surveillance system complies with the provisions of the licence holder's ICS and the Act.

(2) The Board may approve the combination of certain categories of employees or functions specified in this rule if the licence holder is able to demonstrate that there are no incompatible functions and that the proper conduct and effective supervision and control of gaming and related activities will not be prejudiced thereby.

(3) This rule does not preclude a licence holder from utilising additional categories of employees or the Board from ordering a licence holder to utilise additional categories of employees where it deems it necessary for the proper conduct and effective supervision and control of any gaming-related activity.

(4) A licence holder shall not, without prior written approval of the Board, assign any additional duties to its Surveillance Department over and above what is prescribed in terms of the Act or its ICS unless additional staffing has been provided in respect thereof.

CHAPTER 3 - INTERNAL CONTROL STANDARDS

Internal Control
Standards.

7. (1) Every licence holder shall develop, implement and maintain a written ICS to ensure —

- (a) the integrity of its gaming operation;
- (b) that adequate controls are in place effectively to manage and minimise gaming-related risks;

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- (c) that gaming-related devices, documents and information are appropriately controlled and properly safeguarded;
 - (d) that uncounted drop is secured;
 - (e) that financial and other gaming-related records are accurate and reliable;
 - (f) that gaming-related transactions are performed with the necessary authorisation;
 - (g) that gaming-related transactions are recorded in sufficient detail to ensure the proper reporting of gaming revenue, taxes and other fees due;
 - (h) that accountability and responsibility for the performance of gaming-related duties are assigned to the appropriate personnel; and
 - (i) that gaming-related functions, duties and responsibilities are appropriately segregated and performed in accordance with sound practices by competent and appropriately qualified employees.

(2) A licence holder's ICS shall contain only those procedures and provisions required in terms of the Act and such further procedures and provisions as the Board may from time to time determine or approve.

(3) A licence holder shall not commence with any gaming or gaming related activities prior to the approval of its ICS by the Board.

(4) A licence holder shall not amend its ICS or implement any new or revised policies, procedures or standards contained or required to be contained in its ICS without the prior written approval of the Board.

(5) A licence holder shall submit amendments to its approved ICS in the manner and format determined by the Board.

(6) The Board may order a licence holder to amend its ICS if in the opinion of the Board it does not comply with the requirements of rule 6(1).

(7) Upon receipt of a request by a patron, the licence holder shall make available to such patron for perusal a copy of any relevant sections of its approved ICS in relation to an operational issue raised by such patron, which might have a fair play implication.

CHAPTER 4 - SLOT MACHINE DEPARTMENT

ICS.

8. At a minimum, the licence holder's Slot Machine Department ICS shall contain provisions and procedures relating to—

- (a) the management of the slot machine and SBGS terminal information records;
- (b) the commissioning and de-commissioning of slot machines and SBGS terminals on the gaming floor, including—
 - (i) the set-up and testing of slot machines and SBGS terminals;
 - (ii) the procedures required in respect of informing all the departments affected by such commissioning or decommissioning, including the Surveillance and Casino Accounting Departments of the intended commissioning and de-commissioning; and
 - (iii) the controls to monitor the number of stored slot machines;
- (c) controls relating to the detection and repair of slot machine and other gaming device malfunctions;
- (d) controls relating to the implementation of changes in the RTP percentage or percentages of slot machines, including multi-game slot machines;
- (e) the method of detecting variances between theoretical and actual hold percentages in respect of slot machines;
- (f) opening and closing hopper fill procedures;
- (g) monthly hopper float reconciliation;
- (h) monitored key controls, including the receipt and return of keys;
- (i) access to slot machines and SBGS terminals, including the control and recording of logic area access;
- (j) accounting and recording of coins or tokens, bills and credits used for the testing of slot machines and SBGS terminals;
- (k) the management of slot short books and other value stationery, including the issue, storage and return thereof;

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- (l) the management and control of other value instruments, including the method of buy-in, pay-out and audit trail of transactions and variances;
 - (m) the control and recording of unclaimed credits and slot shorts and late claims;
 - (n) the control of purse clear and player card adjustments, where applicable;
 - (o) the control, recording and reconciliation of hopper bag and slot machine spillage;
 - (p) the recording and correction of RAM clears, meter wraps and slot machine and SBGS terminal soft meter violations;
 - (q) hopper fill, jackpot, credit win, short pay; hand pay, progressive jackpot and supplementary prize slot shorts, including —
 - (i) slot short book issue and storage;
 - (ii) transportation of hopper fills;
 - (iii) completion of slot shorts;
 - (iv) slot short verification;
 - (v) correction of errors on slot shorts;
 - (vi) signing limits;
 - (vii) return of slot short books;
 - (viii) physical controls in respect of an automated slot short system and assigning of passwords; and
 - (ix) manual slot shorts.
 - (r) jackpot verification procedures;
 - (s) progressive jackpots, including —
 - (i) game control;
 - (ii) testing and set-up of increment and base values;
 - (iii) system maintenance;
 - (iv) jackpot controllers and engines;
 - (v) the securing and control of all files and data;
 - (vi) determining system accuracy;
 - (vii) the limiting of progressive jackpots;
 - (viii) recording of buy-in and or incremental values;
 - (ix) jackpot verification; and

- (x) LAP procedures, where applicable;
- (t) emergency count and clearance procedures, where applicable;
- (u) the investigation of variances between metered and actual slot machine and SBGS terminal hard and bill drop, including hopper variances; and
- (v) the resolution of patron disputes.

(2) All ICS requirements relating to slot machines shall, with the necessary changes, apply to all SBGS terminals made available for play by the licence holder.

Slot machine
information
record.

9. (1) In respect of each slot machine in its slot machine inventory, a licence holder shall record and maintain accurate and current records reflecting —

- (a) the date on which the slot machine was received;
- (b) the serial number assigned to that slot machine by the manufacturer thereof;
- (c) an unique asset number assigned to that slot machine which shall remain unchanged for the entire duration of the period during which such machine is owned by or in the possession of the licence holder;
- (d) the slot machine number, where applicable;
- (e) the name of the licensed supplier thereof;
- (f) the hardware model number and Board approval number;
- (g) the communication software memory device number, communication software memory device checksum number and communication software Board approval number;
- (h) the game type and description;
- (i) the RTP percentage or, where applicable, percentages;
- (j) the game software memory device number, game software memory device checksum number and game software Board approval numbers;
- (k) the method and date of disposal;
- (l) the total number of slot machines on the gaming floor and in storage; and
- (m) slot machine permit numbers, where applicable.

(2) All Rules relating to the management and control of slot machines shall, with the necessary changes, apply to SBGS Terminals.

10. (1) Each slot machine shall electronically and accurately record and store the following information — Slot machine soft meters.

- (a) the number of coins or tokens inserted into the slot machine (coin-in);
- (b) total of credits bet;
- (c) total number and dollar value of credits won;
- (d) the total number of coins or tokens automatically paid out by the slot machine (coin-out);
- (e) the number of coins or tokens deposited into the slot machine drop box (hard drop);
- (f) jackpot payments and accumulated credit wins;
- (g) number of games played;
- (h) in respect of slot machines with a bill validator —
 - (i) notes-in in dollar value; or
 - (ii) the number of notes accepted per denomination;
- (i) in respect of slot machines operating with player cards, the dollar value of—
 - (i) the total number of credits booked from the player card to the slot machine (card-in); and
 - (ii) the total number of credits cashed out from the slot machine to the player card (card-out); and
- (j) in respect of slot machines operating with a TITO system, the dollar value of—
 - (i) the total number of credits booked from a ticket to the slot machine (ticket-in); and
 - (ii) the total number of credits cashed out from the slot machine to a ticket (ticket-out).

11. (1) A plate shall permanently be affixed to the cabinet of every slot machine, reflecting— Slot machine identification.

- (a) the unique serial number of the machine; and
- (b) the name of the manufacturer of such machine.

(2) A number shall be assigned to each slot machine, which shall be clearly visible on the front of the slot machine.

(3) A maximum of 16 betting stations may be linked to a slot machine.

Slot machine malfunctions.

12. (1) Unless a slot machine is deactivated automatically once its memory or the EMS memory has reached full capacity, the Slot Machine Department shall, at least once every four hours, perform checks on the EMS or the gaming floor to detect slot machine and communication errors.

(2) The Slot Machine Department shall immediately—

- (a) investigate all slot machine malfunctions and document the results thereof; and
- (b) inform the Surveillance Department of all significant event communication errors.

(3) The slot machine shall be powered down or disabled and may not be available for play if—

- (a) a malfunction has occurred which cannot be repaired immediately; or
- (b) there is a malfunction that may—
 - (i) have a fair play implication; or
 - (ii) affect the integrity of the slot machine or EMS information.

Slot Shorts.

13. (1) Unless the Board approves otherwise, a licence holder shall utilise a gaming-related system to record, generate and redeem slot shorts.

(2) Personnel participating in slot short transactions shall not have the ability to alter any electronic slot short information unless otherwise prescribed in licence holders approved ICS.

(3) The employees involved in the generation of a slot short shall verify that the slot short reflects the correct—

- (a) date and time;
- (b) slot machine number;
- (c) type of slot short; and
- (d) slot short value.

(4) The Cashier shall verify that all relevant detail, prescribed in the Rules has been completed on a slot short and is signed by the relevant employees and patrons, where applicable, prior to redeeming such slot short.

(5) The Cashier redeeming the slot short shall verify the following slot short information—

- (a) date and time;
- (b) slot short number;
- (c) value of the slot short;
- (d) slot machine number; and
- (e) type of slot short to the detail reflected on the gaming-related system prior to redeeming the slot short to ensure that the correct slot short document has been redeemed against the correct slot short information reflected on the computerised system.

(6) In circumstances where a slot short contemplated in this rule cannot be verified by the Cashier on the gaming-related system, the Slot Machine Department Supervisor shall verify the legitimacy and value thereof and shall be required to authorise the redemption of the slot short.

(7) The original slot short form, representing the value, shall be accounted for by Casino Administration personnel who shall —

- (a) investigate all missing or altered slot shorts;
- (b) compare the slot short information to the computerised slot short system and EMS information; and
- (c) check the documents for completeness and accuracy.

(8) In the event of an EMS or gaming-related system communication failure —

- (a) manual slot short documentation shall be issued in triplicate format; and
- (b) Casino Administration shall verify the original forms with the computerised system values once the communication is restored. In the event that the computerised system values are irretrievable, Casino Administration shall compare the original documents with the first copies to verify that no alterations have been made to the

original documents and verify the accuracy and correctness of such documents.

(9) The licence holder shall obtain written approval from the Board for all supplementary prizes prior to offering such prizes.

(10) In the event of a patron being short paid in an amount of \$10.00 or less, a Slot Machine Supervisor may perform a hand payment from the hopper only after the legitimacy of the claim has been verified.

(11) In the event of a patron being short paid in an amount which exceeds \$10.00, a short pay slot short shall be issued to the patron for the outstanding value owed to the patron only after the legitimacy of the claim has been verified.

(12) The Surveillance Department shall be informed before a short pay slot short payout or hand payment is made.

(13) Subsequent to a short pay due to a technical error on a slot machine—

- (a) in a token or coin operated environment, the outstanding credits on the slot machine shall be cashed out by the Slot Machine Technician in the presence of a Gaming Security representative after the technical error has been corrected. The tokens or coins shall be deposited in the slot machine drop bucket; and
- (b) in a player card environment the licence holder shall ensure that only the value paid out to the patron is deducted for the purposes of calculating gaming tax.

(14) In respect of hopper fills—

- (a) the slot machine representative involved in this transaction shall verify that the hopper is empty prior to generating the hopper fill slot short and ensure that the hopper fill is deposited into the correct slot machine;
- (b) prior to any hopper fill being transported to a slot machine, the Cashier and slot machine representative shall verify the number of tokens or coins in the hopper bag and the value thereof;
- (c) the deposit of the hopper fill coins or tokens into the slot machine hopper shall be witnessed by a

slot machine supervisory or gaming security employee;

- (d) both a slot machine supervisory employee and a representative of the Gaming Security Department shall witness the deposit of hopper fills of \$1000.00 and above into the slot machine; and
- (e) the Surveillance Department shall be informed prior to the hopper fill, referred to in paragraph (d), leaving the Cash Desk.

(15) The licence holder shall on a daily basis, compare slot short values to slot machine jackpot meters and investigate any variances between such amounts. The results of such investigations and the remedial steps taken, if any, shall be documented by the Casino Administration Department and retained for Board inspection.

14. (1) A RAM clear shall not be possible except by accessing the slot machine logic area and only after the authorisation by a Slot Machine or Technical Supervisor. RAM Clear.

(2) Prior to and after performing a RAM clear on a slot machine, the slot machine technician shall record the details prescribed by the Rules on the RAM reset documentation and shall forward the information to Casino Administration on a daily basis.

(3) A printout of the meter information on the EMS, prior to the RAM clear, shall be attached to the RAM reset documentation, or recorded thereon.

15. (1) A Slot Machine Technician shall record the value of all monies used for testing slot machines and returned to the Cash Desk for purpose of calculating gaming revenue. Testing money and tokens used as a deduction from gaming revenue.

- (2) The Slot Machine Technician shall ensure that—
 - (a) test sheets and EMS reports that reflect the correct value used for testing and the value cashed out from each slot machine tested are retained; and
 - (b) the correct value is returned to the Cash Desk.

(3) Testing shall be conducted in the presence of a representative of the Gaming Security Department and the details prescribed in the Rules shall be completed by the Slot Machine Technician.

(4) Notwithstanding the provisions of this rule, a representative of the Gaming Security Department shall not be required to be present—

- (a) when the value returned to the Cash Desk corresponds with the value signed out for the purpose of testing a slot machine;
- (b) in an environment where the attached EMS reports reflect the value deposited in and cashed out from each slot machine; and
- (c) prior to commissioning a slot machine on the gaming floor.

(5) The Surveillance Department shall be informed prior to a hopper test being performed on a slot machine and shall observe the process and record the detail of such event in the Surveillance Electronic Occurrence Book.

Removal of a slot machine from the gaming floor.

16. (1) The Surveillance Department shall be notified prior to the removal of any slot machine from the gaming floor.

(2) The Surveillance Department shall be informed prior to any slot machine changes to ensure that the surveillance system is not altered without the approval of the Board.

(3) A representative of the Gaming Security Department shall be present when the slot machine hopper contents and/or logic area are accessed to ensure that such contents are adequately safeguarded and secured.

(4) Whenever a slot machine is removed from the gaming floor, a Slot Machine Technician shall add the slot machine's hopper contents to the slot machine drop bucket. This shall be done in the presence of a representative of the Gaming Security Department.

(5) Before a slot machine is removed from the gaming floor, a slot machine hard and bill clearance shall be performed to ensure that all bills and tokens or coins are secured.

(6) Casino Administration shall be informed prior to any slot machine replacements to ensure that the EMS correctly reflects the slot machine data. A representative of the Slot Machine Department shall verify the accuracy of the changes that were effected.

(7) The Slot Machine Department shall perform tests on a slot machine which has been installed on the

gaming floor to ensure that the slot machine soft meters and events are correctly recorded on the EMS, prior to exposing the slot machine for game play by patrons. The test results shall be in the format determined or approved by the Board.

17. (1) When hopper bag spillage occurs prior to the coins or tokens reaching the slot machine —

Hopper bag and slot machine spillage.

- (a) the Surveillance Department shall be informed immediately;
- (b) the tokens or coins shall be collected and handed over to the Cash Desk. A Cashier shall, in the presence of a slot machine representative, weigh or count a new hopper bag to verify the amount of tokens or coins and value thereof; and
- (c) the original hopper fill documentation shall be used and a new hopper fill slot short shall not be issued.

(2) Weekly checks shall be performed for spillage in all slot machines in the presence of a representative of the Gaming Security Department.

(3) Spillage in the slot machine shall immediately, after the Surveillance Department has been informed, be added to the drop box contents.

CHAPTER 5 - TABLE GAME DEPARTMENT

18. At a minimum, the licence holder's Table Game Department ICS shall contain provisions and procedures relating to —

- (a) table game rules, including —
 - (i) the preparation of table games before and during game play;
 - (ii) table game limits, including minimum and maximum wagers;
 - (iii) the method of exchange of value for buy-in and payout;
 - (iv) the types of bets permitted;
 - (v) the types of shuffles permitted;
 - (vi) dealing and drawing rules;
 - (vii) clean hands procedure;
 - (viii) the method of determination of game results, including winning combinations and odds;

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- (ix) the authority and procedures in relation to table game management decisions;
 - (x) the treatment of irregularities; and
 - (xi) the order of pay-outs of all table games;
 - (b) the method of recording drop, including manual and computerised procedures;
 - (c) the manner of roulette wheel and card shuffler maintenance, clearly distinguishing between routine and comprehensive services inclusive of the daily checks;
 - (d) card and dice control, including —
 - (i) receipt at pit;
 - (ii) methods to ensure the integrity of cards and dice;
 - (iii) issue to tables;
 - (iv) spare decks of cards and dice;
 - (v) damaged and tampered cards and dice; and
 - (vi) removal of cards and dice from the tables;
 - (e) key controls, including issue, key bunches and the return of keys;
 - (f) the storage of manual value stationery;
 - (g) table openings and closings, including —
 - (i) verification and recording of opening and closing floats;
 - (ii) manual and computerised procedures;
 - (iii) temporary openings and closings;
 - (iv) type of table floats utilised, including rolling floats;
 - (v) flip top procedures, where applicable, including the management of table floats; and
 - (vi) the securing of table floats;
 - (h) table fills and credits, including —
 - (i) opening table fills and closing credits;
 - (ii) manual and computerised procedures;
 - (iii) treatment of incorrect table fills and credits; and
 - (iv) verification of documentation and chips;
 - (i) table game progressive jackpots, including —
 - (i) game control;

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- (ii) the securing and control of all files and data;
 - (iii) the functioning and control of jackpot controllers and engines;
 - (iv) the set-up and testing of incremental and base values;
 - (v) the method of recording buy-in and pay-out;
 - (vi) method of jackpot verification;
 - (vii) the reconciliation and verification of system accuracy;
 - (viii) the limiting of progressive jackpots; and
 - (ix) LAP procedures, where applicable;
 - (j) the management of documents used to purchase chips, including pit markers, player card purchase slips, chip purchase vouchers, voucher for non-redeemable chips or gaming credits and promotional vouchers;
 - (k) table game soft clearances; and
 - (l) the resolution of patron disputes, including the recording of management decisions made.

(2) All ICS requirements relating to slot machines shall, with the necessary changes, apply to all table game betting stations made available for play by the casino.

19. (1) Permanent table numbers shall be affixed to the layouts of all gaming tables to enable individual gaming tables to be easily distinguishable to the public and via the surveillance system.

Gaming Tables.

(2) In the event that a table game betting station is linked to a table game, the betting station shall be deemed to be part of that specific table, provided that no table game may offer a combination of betting stations and live play, unless the Board approves otherwise.

(3) A maximum of sixteen betting stations may be linked to a table game.

(4) A minimum of two patrons and a maximum of sixteen patrons may play on one electronic poker table game.

(5) All Rules relating to the management and control of slot machines shall, with the necessary changes,

apply to table game betting stations and electronic table games.

Table game
opening and
closing
procedures.

20. (1) The Surveillance Department shall be informed prior to the opening or closing of a gaming table and the Surveillance Department shall record the time, date and table details in the Surveillance Electronic Occurrence Book.

(2) The Dealer, Inspector and Pit Boss shall verify the table game opening and closing values and attest to the accuracy thereof on a table opening and closing document.

(3) A copy of the closing document shall be retained in the table game area for verification of the next day's opening float value and the original shall be deposited in the table game drop box or shall be sealed in a container and transported to the count room by the clearance team.

(4) If a discrepancy exists between the opening value and the previous day's closing value, the Surveillance Department shall immediately be informed upon discovery of the discrepancy.

(5) The opening and closing values shall be recorded on the table opening and closing document at least once every twenty-four hours.

(6) The table game float shall be secured at all times that the table game is not open for game play in such a manner as to prevent unauthorised access thereto.

Table Fill and
Credit.

21. (1) The Surveillance Department shall be notified prior to any fill or credit transaction and record the time, date and table details of every such transaction in the Surveillance Electronic Occurrence Book.

(2) Fills or credits between tables are prohibited.

(3) Gaming chips and plaques, other than gratuities, shall be deposited on, or removed from a gaming table only when accompanied by the appropriate fill or credit documents.

(4) The original and a copy of the fill and credit document shall be delivered to the gaming table and after the signatures referred to in this rule have been obtained—

(a) the original document shall be deposited into the table game drop box by the Dealer; and

(b) the copy shall be returned to the Cash Desk.

(5) Each fill or credit shall be broken down on the gaming table by a Dealer and the fill or credit document shall be verified and signed by the following individuals attesting to the accuracy of the information on the fill or credit document—

- (a) the Dealer who receives the fill at the gaming table or prepares the credit on the table;
- (b) the Inspector who verifies the value of the fill or credit at the gaming table;
- (c) the Pit Boss who supervises the fill or credit transaction; and
- (d) the Cashier who prepares the fill or receives the credit at the Cash Desk.

(6) Fills shall be accepted into the table float only by a Dealer, who shall verify the amount received against the fill document before placing it into the table float.

(7) The value of each table fill or credit shall be captured on the table game information system.

(8) Casino Administration shall verify the electronic record against the original document issued on the gaming floor.

(9) If a table fill or credit is issued in error to a table game, a contra fill or credit shall be completed during the same gaming day to compensate for the error.

22. (1) Unless specifically approved by the Board for competition or tournament purposes, a non-value chip shall be used on a roulette table only.

Non-value Chips.

(2) No patron at a roulette table shall be issued or permitted to wager with non-value gaming chips that are identical in design to non-value or value chips being used by another patron at the same table.

(3) Each roulette table shall be issued with non-value chips which are unique to that table.

(4) The value allocated to each set of non-value chips shall be conspicuously displayed at the gaming table.

(5) If a non-value gaming chip is issued for play at a value higher than the table minimum, the Surveillance Department shall immediately be informed and record such in the Surveillance Electronic Occurrence Book.

(6) Non-value gaming chips shall be redeemed only at the table at which they were issued.

(7) Non-value gaming chips may be redeemed only for value chips at the gaming table.

Recording of
estimated drop.

23. The table game drop shall, upon deposit thereof in the table game drop box, be recorded on an electronic table game information system by a table game employee.

Gratuities.

24. Gratuities shall be exchanged for value chips prior to being deposited into a table game drop box.

Table game
payout form.

25. When a winning bet or part thereof is not paid out from the table float, the licence holder shall utilise the table payout form, referred to in these Rules, for the portion paid from the Cash Desk.

Announced Bets.

26. A licence holder shall not offer or accept any announced bets.

Securing of
Roulette Wheels.

27. (1) During non-operating hours, or while a roulette table is closed, the bowl and the turret of the roulette wheel shall be secured in a manner to prevent any unauthorised access thereto.

(2) The seals or keys of the locks used for the purpose of securing the roulette wheel shall be recorded in either a seal or key control register and all entries in such register shall be signed by a representative of the Gaming Security Department and a Pit Boss.

Maintenance of
gaming and
gaming-related
devices.

28. (1) The licence holder shall, on a monthly basis perform routine maintenance and on a six-monthly basis perform comprehensive maintenance according to the manufacturer's specifications on roulette wheels and card shufflers to ensure that they are maintained in a proper working condition.

(2) The licence holder shall keep a maintenance register, referred to in the Rules, and record the maintenance performed on the gaming and related devices.

(3) Monthly and six-monthly servicing of roulette wheels and card shufflers shall be carried out by properly trained personnel in accordance with the specifications of the supplier.

(4) On a monthly basis, the licence holder shall ensure that all operational roulette wheels are level.

(5) If a wheel is removed from the roulette table and replaced—

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- (a) the number of the new roulette wheel must be recorded in the maintenance logbook in respect of that table; and
 - (b) the new roulette wheel must be properly levelled and tested before a gaming game may be conducted on that table.

**CHAPTER 6 - ELECTRONIC MONITORING
SYSTEM (“EMS”) AND SERVER BASED GAMING
SYSTEMS (“SBGS”)**

29. The EMS including SBGS, where applicable, refers to all hardware and software utilised for communication between slot machines, terminals and electronic table games and the EMS file server for the storage of gaming-related information and includes the following equipment — General.

- (a) cabling from all gaming devices to the file servers;
- (b) communication Interfaces;
- (c) front end processors;
- (d) floor servers;
- (e) gaming device managers;
- (f) patch panels;
- (g) table game information systems;
- (h) jackpot controllers and engines; and
- (i) file servers.

30. (1) A licence holder shall implement and maintain an on-line EMS which shall provide for — EMS general requirements.

- (a) compliance with all current national norms and standards and ensure accurate logging, searching and reporting of occurrences pertaining to slot machines, SBGS terminals, electronic poker table games and table game betting stations, where applicable, including —
 - (i) power on and off;
 - (ii) connection or break-in connection with the EMS;
 - (iii) authorised and unauthorised machine, drop box cabinet and canister door open and close;
 - (iv) logic area open and close when the power is switched off;

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- (v) the identification of employees gaining access to any slot machine and table game betting stations;
 - (vi) invalid service or key cards;
 - (vii) hopper empty;
 - (viii) jackpot and accumulated credit won and the value thereof;
 - (ix) progressive jackpot won and the value thereof; where applicable;
 - (x) coins paid out while door open; and
 - (xi) coin jam;
- (b) the collection of financial data in respect of individual gaming devices;
 - (c) the accurate collection of data in respect of individual slot machines, SBGS terminals or gaming table betting stations, including, at a minimum, the information prescribed in these Rules;
 - (d) the reconciliation of soft meter data against the count figures;
 - (e) the collection of soft meter data, which must be performed via a secure link to the slot machine, SBGS terminals and table game betting station software;
 - (f) a selectable report, reflecting the actual hold percentage of each slot machine or SBGS games computed on a month-to-date and year-to-date basis;
 - (g) system security, including, at a minimum, the registering of all manual inputs to the EMS reflecting the identity of the employee performing the input and authorising the input, the prevention of unauthorised access thereto and providing an audit trail reflecting the changes made; and
 - (h) such other requirements as may be determined or approved by the Board.
- (2) The EMS must have sufficient capacity to efficiently and continuously monitor, log and control all slot machines, SBGS terminals and table game betting stations in the manner prescribed in this rule.
- (3) All information referred to in this rule shall be retained for a period of six months, provided that all tax-

related slot machine, SBGS terminals and table game betting station information shall be retained for a period of five years.

(4) The EMS shall not allow for the alteration of any records without a full audit trail of such alterations, unless otherwise approved by the Board.

31. The licence holder shall implement and maintain an electronic table game information system for the purpose of recording and storing table game financial information including, without limitation, unless otherwise approved by the Board —

Table game information system.

- (a) table game opening and closing float values;
- (b) table game fill and credit values;
- (c) table game theoretical or estimated drop values; and
- (d) the value of documents used to purchase chips.

32. (1) The licence holder shall implement and maintain an approved SBGS, where applicable, for the purpose of storing and downloading electronic games and information to and from SBGS terminals.

Sever Based Gaming Systems.

(2) Minimum requirements for an SBGS shall include, without limitation —

- (a) servers containing game information shall be installed on the licensed premises;
- (b) the SBGS servers shall be secured in the IT Room to prevent any unauthorised access thereto;
- (c) game downloads to the server will only be performed by duly authorised personnel authorised thereto in terms of the operator's ICS;
- (d) no suppliers will have direct logical access thereto;
- (e) downloads to the server will not affect game play on any other terminals;
- (f) the manner in which game information is downloaded shall be secure to ensure that no alterations, modifications or any errors occur;
- (g) verification of downloadable game information shall be documented and approved by the Slot Machine and Casino Administration Departments; and

(h) any changes to critical data shall be evident and easily accessible for verification purposes.

(3) The licence holder shall on a six monthly basis, test the SBGS to verify that there are no alterations, modifications or any errors on the system.

(4) The results of these tests, including any remedial steps taken, shall be documented and signed by the employees involved in the tests.

(5) The test documentation shall be retained for a period of at least two years, for inspection by the Board.

(6) Notwithstanding the provisions of this rule, the Board may approve different requirements and provisions in respect of SBGS, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity and validity of the system and reports.

33. (1) A licence holder shall maintain a detailed register of all malfunctions, alterations, upgrades and maintenance performed on the EMS.

(2) A licence holder which proposes to upgrade, alter or amend its approved EMS or table game information system or do anything that will alter the approved EMS or table game information system, shall submit the documentation in the format determined or approved by the Board, and shall not affect any such upgrade, alteration or amendment prior to receiving the written approval of the Board.

(3) When installing or modifying a slot machine, SBGS terminal, electronic poker table game or table game betting station on the gaming floor, the Slot Machine and Surveillance Departments shall ensure that the EMS and surveillance systems record all soft meters and significant events required to be recorded in terms of the Regulations before any gaming activity takes place on the gaming device.

(4) The Slot Machine Department shall perform tests to ensure that the components of the gaming devices are set-up properly including, coin or token acceptance, bill acceptance, denomination settings, reel strip alignment, payout tests and software validation and such other components as the Board may specify, before any gaming activity takes place on the gaming device.

EMS, SBGS and table game information system malfunctions, alterations, upgrades and maintenance.

(5) The Slot Machine and Surveillance Departments shall —

- (a) document the results of the tests conducted in terms of this rule in the format determined or approved by the Board; and
- (b) maintain the significant event and meter test sheets and corresponding EMS reports as evidence of the test results for on-site inspection by the Board.

(6) When an EMS upgrade is performed, the Slot Machine and Surveillance Departments shall perform significant event and meter tests on at least all the different types of communication software installed in slot machines, SBGS terminal, electronic poker table game and table game betting stations on the gaming floor.

(7) A slot machine, SBGS terminal, electronic poker table game and table game betting station may not be exposed for play before the tests referred to in this rule, have been completed successfully.

(8) In the event of an EMS malfunction which affects the monitoring and logging of any slot machine, SBGS terminal, electronic poker table game or table game betting station activity required to be logged and controlled in terms of the Act, the licence holder shall immediately notify the Surveillance Department of such malfunction.

(9) Each EMS malfunction shall be repaired within twenty-four hours of the occurrence thereof.

(10) When the EMS malfunction cannot be repaired within twenty-four hours, the licence holder shall immediately submit a written report to the Board setting forth the reason for the delay in repair.

(11) The Board may in its discretion order that all slot machine, SBGS terminal, electronic poker table game and table game activity affected by a malfunction contemplated in this rule be suspended pending repair.

(12) Maintenance on the EMS, table game information system and related equipment shall be performed by appropriately trained personnel only.

**CHAPTER 7 - CASINO ACCOUNTING
DEPARTMENT**

ICS.

34. At a minimum, a licence holder's Casino Accounting Department ICS shall contain provisions and procedures relating to—

- (a) in relation to the Cash Desk—
 - (i) Patron Cheque or Cashing facility policies, including—
 - (aa) the applicable criteria in respect thereof;
 - (bb) limits in respect of facilities to be made available to patrons;
 - (cc) levels of access to patron facility information; and
 - (dd) the requirements of the approval committee;
 - (ii) the storage and securing of manual value stationery;
 - (iii) clean hand procedure;
 - (iv) hopper fills, including the issue, redemption, transportation and verification thereof;
 - (v) slot short redemption, including computerised systems used, manual slot short procedures, signing limits and verification procedures;
 - (vi) batch payments, where applicable, including authorisation and verification procedures;
 - (vii) purse clear and player card adjustments, where applicable;
 - (viii) the exchange of cash and other value instruments;
 - (ix) unclaimed credits and slot shorts, including the management, control and recording thereof;
 - (x) table opening and closing, including the method of securing table floats, where applicable;
 - (xi) table fills and credits, including authorisation, issue and verification procedures;

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- (xii) the management of documents used to purchase chips, including markers, ingenico slips, chip purchase vouchers, non-redeemable vouchers and promotional vouchers where such form part of gaming revenue;
 - (xiii) the purpose of promotional chips and conditions applicable in respect of the use;
 - (xiv) table progressive jackpot pay-outs, where applicable;
 - (xv) the resolution of patron disputes;
 - (xvi) the management of “testing money”;
 - (xvii) daily reconciliation of gaming cash dispensing machines and TITO systems;
 - (xviii) the daily distribution of value stationery to Casino Administration;
 - (xix) slot machine hard, slot machine bill and table soft count buys; and
 - (xx) emergency clearances and counts, where applicable.
- (b) in respect of clearance and count procedures —
- (i) key controls for keys utilised for the clearance and count processes;
 - (ii) slot machine hard clearance;
 - (iii) slot machine bill clearance;
 - (iv) table soft clearance;
 - (v) the responsibilities of each employee involved in the relevant clearances;
 - (vi) procedures for recording of spillage during clearance;
 - (vii) slot machine hard count;
 - (viii) slot machine bill count;
 - (ix) table soft count, including —
 - (aa) the recording of cash drop;
 - (bb) documents used to purchase chips;
 - (cc) Table Game Dispute Payout Sheets;
 - (dd) Table Game Progressive Payout Forms;
 - (ee) table game fills and credit values; and

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- (ff) table game opening and closing values;
 - (x) the responsibilities of each employee involved in the relevant counts;
 - (xi) management of counterfeit and ink-stained bank notes;
 - (xii) procedures to be followed when the regular clearance and count teams are not performing the clearance and count processes, including emergency clearances and counts;
 - (xiii) reporting of count variances and variances between actual and estimated drop;
 - (xiv) transfer of value items during and after the count process;
 - (xv) break provisions during the count;
 - (xvi) scale testing and calibration;
 - (xvii) the circumstances under which an emergency clearance or count may be performed;
 - (xviii) manual count procedures; and
 - (xix) evacuation procedures during clearances and counts; including securing of uncounted drop;
- (c) in respect of Casino Administration —
- (i) the calculation and compilation of the monthly Gaming Revenue Report;
 - (ii) value and controlled stationery controls, including provisions for —
 - (aa) the ordering thereof;
 - (bb) the receipt thereof;
 - (cc) the reconciliation thereof;
 - (dd) the comparison of a signature listing to signatures on the value documents;
 - (ee) the method of checking for completeness and accuracy; and
 - (ff) the method of filing of all value stationery;
 - (iii) the verification and reconciliation of source documentation, spread-sheets and electronic reports used to calculate table game and slot

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- machine gaming revenue as to ensure the integrity and accuracy thereof;
- (iv) the control of progressive jackpots, including provision for –
 - (aa) the verification of the progressive jackpots;
 - (bb) the reconciliation of the progressive jackpots;
 - (cc) the cessation or transfer of any progressive jackpots;
 - (v) the management of opening and closing hopper fills;
 - (vi) accounting and reconciliation in respect of management decisions;
 - (vii) the reconciliation and correction of RAM clears, slot machine meter violations and meter wraps;
 - (viii) slot machine hopper reconciliation;
 - (ix) the reconciliation of the unclaimed credit and slot short register;
 - (x) slot machine movements, including updates to the EMS;
 - (xi) changes to information on the EMS or gaming-related systems database, including provision for audit trails in respect thereof;
 - (xii) other value instruments, including the reconciliation thereof;
 - (xiii) the reconciliation and administration of testing money documents and accounts;
 - (xiv) investigation of variances, including –
 - (aa) count variances;
 - (bb) table estimated drop to actual drop;
 - (cc) slot machine bill and hard actual drop to metered drop; and
 - (dd) slot short and jackpot meter variances;
 - (xv) verification that –
 - (aa) access to gaming-related software by the relevant heads of department was duly authorised; and
 - (bb) employees were given the correct user-access-rights.

Casino
Accounting
Department.

- 35.** The Casino Accounting Department shall —
- (a) develop, implement and review financial controls;
 - (b) prepare and control financial records and data;
 - (c) store financial records;
 - (d) reconcile gaming revenue on a monthly basis;
 - (e) account for and reconcile all forms used in the operation of the casino;
 - (f) verify the integrity and validity of all financial documents and information;
 - (g) prepare all financial and management reports;
 - (h) be responsible for the slot machine hard clearance and count;
 - (i) be responsible for the table game soft and slot machine bill clearances and counts;
 - (j) be responsible for the emergency clearance and count procedures; and
 - (k) be responsible for the Cash Desk operation.

Casino
Administration
Department.

36. (1) Casino Administration shall be independent of all other gaming departments.

(2) Casino Administration shall be accountable for maintaining an up-to-date signature listing of all key or gaming employees.

(3) A representative of Casino Administration shall be present upon the receipt, storage and entering into the relevant registers of all value and controlled stationery.

(4) Casino Administration shall ensure that all value stationery is checked on a daily basis for completeness and that no unauthorised alterations have been effected thereto.

(5) Casino Administration shall ensure that all management decision values are accurately accounted for.

Changes to
information on
the EMS and
gaming-related
database.

37. (1) Casino Administration shall be accountable for all changes made to information on the EMS, table game information system or gaming-related system database.

(2) All changes to information on the EMS and gaming-related database shall be recorded on the audit trail printout.

(3) A duly authorised representative of the department to which any change of information on the

database relates, shall, within forty-eight hours of such change, verify that such change was correctly performed and bears the signatures of a representative of Casino Administration and the authorised representative of the Department affected by the change on the audit trail printout.

(4) All audit trail printouts made relating to changes made to information contained in the EMS and gaming-related database shall be safely kept for a period of five years.

38. (1) Progressive jackpots may not be decommissioned without the approval of the Board.

Commissioning and decommissioning progressive jackpot procedures.

(2) Incremental values of a progressive jackpot being decommissioned must be transferred to another jackpot within ten working days unless otherwise approved by the Board.

(3) The Board must be notified within twenty-four hours of the distribution of the incremental value of the decommissioned progressive jackpot.

39. (1) All drop boxes, buckets or canisters shall be clearly marked to identify the specific gaming table or slot machine from which a clearance has been made.

Table game and slot machine clearance procedures.

(2) All drop boxes shall be cleared from the gaming tables at least once every twenty-four hours regardless of whether the tables were opened for play.

(3) All canisters shall be cleared from the slot machines at least once every 48 hours.

(4) A clearance team shall consist of at least two licensed employees of the licence holder from different departments, one of whom shall be a representative of the Gaming Security Department.

(5) The Clearance Supervisor shall sign out all drop box, slot machine drop box, canister release, trolley, storage rack or other keys used in the clearance process from the Gaming Security Department. The representative of the Gaming Security Department accompanying the clearance shall sign as witness to this transaction.

(6) The representative of the Gaming Security Department shall notify the Surveillance Department prior to signing out the clearance keys.

(7) The Surveillance Department shall be informed of the functions to be performed by each member of the clearance team and their names prior or during the commencement of the clearance.

(8) The Surveillance Department shall observe, monitor and record the entire table game clearance process.

(9) All drop boxes, buckets or canisters removed from gaming tables or slot machines shall immediately be secured in a trolley for transportation.

(10) Tables and slot machines shall be cleared and the trolleys shall be moved in a manner which ensures that the opened slot machines, the removed drop boxes, buckets or canisters and the trolleys are at all times in full view of the surveillance cameras.

(11) The trolleys containing the removed drop boxes, buckets or canisters shall immediately be locked after the clearance and transferred to the relevant count room, secured storeroom or a secured area approved by the Board.

(12) The removed drop boxes, buckets or canisters shall be secured in a manner approved by the Board.

(13) The Surveillance Department shall continuously monitor and record all removed drop boxes, buckets and canisters containing uncounted drop.

(14) The storeroom or secured area referred to in this rule shall have solidly constructed floors, walls and ceilings and shall have no exterior windows.

(15) Access to the storeroom or secured area referred to in this rule shall, unless the Board approves otherwise, be limited to members of the count and clearance teams or to individuals authorised thereto in terms of the licence holder's ICS only.

Count Rooms.

40. (1) Unless the Board approves otherwise, the hard and soft count rooms shall be separate secured rooms used exclusively for the storage of drop boxes, buckets or canisters and to count the hard and soft drop proceeds.

(2) Each count room shall have—

(a) a steel-lined door that can be secured from the inside of the count room;

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- (b) a facility enabling persons in the count room to view the area directly outside the count room door;
 - (c) solidly constructed floors, walls and ceilings and no exterior windows;
 - (d) an internal telephone within easy reach of the Count Supervisor;
 - (e) continuous lighting, arranged in such a manner as to ensure that no reflections or glare obstruct the views of any of the surveillance cameras;
 - (f) an emergency lighting system which shall immediately be activated in the event of a power cut, and shall have the capacity to operate continuously for at least eight hours;
 - (g) no shelves or objects on, above or below the working surfaces that might obstruct the view of the Count Supervisor or the surveillance cameras of the contents of the working surfaces or the room or any employee therein;
 - (h) the interior walls of which the upper half shall be mirrored; and
 - (i) a transparent table with a transparent partition to separate counted cash and chips from uncounted cash and chips.

(3) Access to the count rooms shall be limited to members of the count and clearance teams or to individuals authorised thereto in terms of the licence holder's ICS only, unless the Board approves otherwise.

(4) A count team shall consist of at least three licensed employees of the licence holder who shall be present throughout the entire count process, one of whom shall be a Count Supervisor.

(5) No equipment or items other than equipment or an item utilised during the count process shall be permitted in the count room.

(6) The Surveillance Department shall be informed prior to any person accessing or exiting the count room or any storage area where uncounted drop is secured and shall record identification details of such person in the Surveillance Electronic Occurrence Book.

(7) The Surveillance Department shall observe, monitor and record the entire table soft count.

(8) The Count Supervisor shall sign out and return the count room and other keys necessary to perform the counts.

(9) The keys to the count rooms and other keys necessary to perform the counts shall be kept by the Count Supervisor or duly authorised person. The keys shall be visible at all times during the count process.

(10) Prior to the count, the slot machine canister and table game drop box contents keys shall remain sealed, and shall be —

- (a) opened in the count room, only once the count commences; and
- (b) sealed in the count room when the count process is finalised.

(11) Before the start of a count, the door to the count room shall be locked from the inside.

(12) The count room keys and other keys used during the count process shall, immediately after the count, be returned to the Gaming Security Department.

(13) During the count, the door to the count room shall be opened only upon request by a person authorised to enter or leave the count room and only after the Surveillance Department has been notified.

(14) No person shall enter or leave the count room, or open the count room door, at any time during the count process until all monies, chips, tokens and gaming-related documentation contained in or retrieved from opened drop boxes, buckets or canisters have been counted, verified and accepted into the Cash Desk or have been secured to prevent any unauthorised access thereto, unless otherwise approved by the Board.

(15) Gratuities shall be accounted for separately from any other count proceeds.

(16) Slugs found in slot machine drop buckets, hoppers, slot machine canisters and table game drop boxes, shall be counted as gaming revenue.

(17) Token and coin slugs found in a slot machine shall carry the value of the denomination of the relevant slot machine.

(18) Counterfeit and ink-stained notes shall carry the value accepted by a gaming device or table game employee for the purposes of play.

(19) Slugs shall be separately accounted for on the respective count sheets.

41. (1) The soft count in respect of table games shall not be performed simultaneously in the same room with the count of any other revenue. Table game soft count.

(2) The employees performing the count shall have no incompatible functions and shall be independent of —

- (a) the Table Game Department; and
- (b) the employees subsequently accountable for the table game soft count proceeds.

(3) Prior to the commencement of the table soft count, at least two employees shall verify the accuracy of the note counters to be utilised during the count with varying bill denominations to ensure that the note counters are properly calibrated.

(4) The Surveillance Department shall be notified prior to the conduct of the calibration tests contemplated in this rule.

(5) Drop boxes shall be individually emptied, counted and recorded separately on the count documentation.

(6) No more than one drop box may be opened and the content thereof counted at any one time.

(7) The Surveillance Department shall observe, monitor and record the entire table soft count.

(8) Prior to opening any drop box, the number of such drop box shall be shown and announced to the Count Supervisor and the surveillance cameras.

(9) After emptying a drop box, the empty drop box shall be identified and shall be shown to the Count Supervisor and to the surveillance cameras and shall then be locked.

(10) Fill and credit values shall be recorded on the count sheet.

(11) Plaques and copies of the documents used to purchase chips removed from the drop boxes shall be either

- (a) recorded on the count sheet by the count team;
or
- (b) if a computerised system is used, totalled and traced to the totals documented by the system.

(12) The opening and closing table values, shall be either —

- (a) recorded on the count sheet by the count team;
or
- (b) if a computerised system is used, totalled and traced to the totals documented by the system.

(13) The total count recorded on the count sheets shall be reconciled with the total drop removed from the table game drop boxes by the Count Supervisor.

(14) Upon completion of the table game soft count, the Count Supervisor, the accepting Cash Desk representative and a representative of Casino Administration, who shall be independent of the count team and the Cash Desk, shall count the final table game soft count proceeds and attest to the accuracy thereof.

(15) If a discrepancy exists between the counts referred to in paragraph (13) and (14) a re-count shall be performed and any differences shall be reconciled. The results of such count shall be documented and retained for Board inspection.

(16) If the count referred to in paragraph (15) does not resolve a variance, referred to therein, the Surveillance Department shall be informed, shall investigate the variance, document and retain the results of such investigation for Board inspection.

(17) The Count Supervisor and the Gaming Security representative shall ensure that all drop boxes are locked after they have been emptied.

(18) Immediately after the conclusion of the count, the Count Supervisor shall deliver the count sheets and all supporting documentation to Casino Administration or place them in a locked container to which only personnel of Casino Administration shall have access.

Slot machine
hard count.

42. (1) The hard count in respect of slot machines shall not be performed simultaneously in the same room with the count of any other revenue.

(2) For the purposes of this rule count or counting shall include weigh or weighing and wrap or wrapping shall include bag or bagging and rack or racking.

(3) The employees performing the hard count shall have no incompatible functions and the count team shall be independent of —

- (a) the Slot Machine Department; and
- (b) any employees subsequently accountable for the slot machine hard count proceeds.

(4) Prior to the commencement of the hard count, at least two employees shall verify the accuracy of the weigh scale and coin counters by testing them with varying amounts of previously counted coins or tokens in respect of each denomination, so as to ensure that the scales and counters are properly calibrated.

(5) The Surveillance Department shall be notified prior to the conduct of the calibration tests contemplated in this rule.

(6) Slot machine hard drop proceeds shall be counted and reconciled in a manner that precludes the mixing of the drop proceeds of one slot machine with the drop proceeds from any other slot machine.

(7) After emptying a bucket, the empty bucket and the slot machine number shall be shown and announced to the Count Supervisor and the surveillance cameras.

(8) The amount of the hard drop proceeds from each slot machine shall be recorded separately on the count documentation.

(9) If a weigh scale interface is used, the slot machine count figures shall be transferred and recorded via direct line or computer storage media.

(10) Upon completion of the count of the slot machine hard count proceeds the Count Supervisor, the accepting Cash Desk representative and a representative of Casino Administration, who shall be independent of the count team and the Cash Desk, shall count the final counted slot machine hard count proceeds and attest to the accuracy thereof.

(11) If a discrepancy exists between the counts referred to in paragraph (6) and (10), a re-count shall be performed and any differences shall be reconciled. The

results of such count shall be documented and retained for Board inspection.

(12) If the count referred to in paragraph (11) does not resolve a variance, referred to therein, the Surveillance Department shall be informed, shall investigate the variance, document and retain the results of such investigation for Board inspection.

(13) Immediately after the conclusion of the count, the Count Supervisor shall deliver the count sheets and all supporting documentation to Casino Administration or place them in a locked container to which only personnel of Casino Administration shall have access.

Slot machine soft count.

43. (1) All the provisions pertaining to the table soft count shall, with the necessary changes, apply to the slot machine soft count.

(2) The employees performing the slot machine soft count shall have no incompatible functions and the count team shall be independent of—

- (a) the Slot Machine Department; and
- (b) any employees subsequently accountable for slot machine soft count proceeds.

(3) The Count Supervisor and the Gaming Security representative shall ensure that canisters are locked after they have been emptied.

Transfer of value items during a count.

44. (1) The transfer of value items out of a count room shall occur only if the transfer is recorded on a separate pre-numbered, multipart document, used solely for count transfers.

(2) The Count Supervisor, one other member of the count team and a representative of Casino Administration, or such other employee who is independent of the count process and shall be responsible for authorising the transfer shall, subsequent to the count process, reconcile the count proceeds and attest to accuracy of the document referred to in this rule.

(3) The Surveillance Department shall be notified prior to a transfer referred to in this rule and shall—

- (a) monitor and record the transfer;
- (b) record the particulars of the employees participating in the transfer; and
- (c) record the date and time of the transfer in the Surveillance Electronic Occurrence Book.

45. (1) All the provisions pertaining to clearance and count procedures shall, with the necessary changes, apply to emergency clearances and counts.

Emergency clearance and count procedures.

(2) The employees performing the counts shall have no incompatible functions and the count team shall be independent of—

- (a) the proceeds being counted; and
- (b) any employees subsequently accountable for the count proceeds.

(3) The emergency count figures in respect of each drop box, bill canister and bucket shall be individually recorded on a separate count sheet and signed by the employees performing such emergency count.

46. (1) The employees performing slot machine accounting and auditing functions shall be independent of those employees involved in or responsible for authorising the transactions being reviewed and shall have no incompatible functions.

Slot machine accounting and auditing.

(2) Casino Accounting shall on a monthly basis compare slot machine source documents, count documentation and the EMS reports used for calculating taxable revenue with the tax return to verify the accuracy thereof.

(3) A daily reconciliation shall be prepared in respect of the day, month and year-to-date and shall include the following—

- (a) drop per slot machine;
- (b) winnings paid per slot machine, including hopper fills;
- (c) win per slot machine; and
- (d) total adjusted gross revenue.

(4) All slot machine auditing procedures and any follow-up actions performed shall be documented and retained for Board inspection.

(5) Casino Administration shall be accountable for the reviewing of the bill, coin drop, jackpot, accumulated credit win, player card-in and player card-out and/or ticket-in and ticket-out meter readings for exceptions and suspicious meter movements on a monthly basis, using pre-established and documented parameters and the tolerance levels set in the EMS.

(6) If the RTP%, including any contribution towards a progressive jackpot, of a slot machine, including each game offered on a multi-game slot machine, taken over a continuous twelve month period, falls below 85%, the licence holder shall investigate such occurrence and document and retain the results of such investigation and the remedial steps taken, if any, for Board inspection.

(7) Any change to a slot machine's theoretical hold percentage shall result in such slot machine being treated as a different slot machine for purposes of preparing statistical reports, so that various hold percentages shall not be reflected in respect of one slot machine.

(8) The value of a supplementary prize shall not be taken into account for the purposes of determining the RTP% of any slot machine.

Table game
accounting and
auditing.

47. (1) The employees performing table game accounting and auditing functions shall be independent of those employees involved in or responsible for authorising the transactions being reviewed and shall have no incompatible functions.

(2) A daily reconciliation shall be prepared in respect of the day, month and year-to-date and shall include the following information—

- (a) drop per table;
- (b) win per table; and
- (c) total adjusted gross revenue.

(3) Casino Administration shall, on a monthly basis, compare table game source documents, count documentation and the EMS and table game information system reports, including gaming-related system reports, used for calculating taxable revenue with the tax return to verify the accuracy thereof.

(4) Any improper transactions or unusual occurrences discovered during the review referred to in this rule shall be investigated and the results documented and retained for Board inspection.

Hopper
Reconciliation.

48. (1) The Casino Accounting Department shall be accountable for the performance of monthly hopper reconciliation on all slot machines.

(2) The contents of the hopper shall be counted or weighed and compared to the EMS theoretical hopper contents value generated by the EMS.

(3) In the event that the variance between the values, contemplated in this rule, is greater than R500.00, the Surveillance Department shall investigate the variance and document and retain the results for Board inspection.

(4) The total number of tokens counted per slot machine hopper shall be recorded and signed by an employee from the Casino Accounting Department.

49. (1) Slot shorts shall be redeemed at the Cash Desk only.

Slot short redemption.

(2) The Cashier redeeming the slot short shall verify that all the relevant detail that is required to be recorded on the slot short has been completed thereon and that the appropriate employees have signed the document.

(3) Only the patron to whom a slot short is issued may redeem such slot short.

(4) Notwithstanding the provisions of this rule, where a licence holder utilises a computerised system and electronic identification protocols, the Board may approve different requirements and provisions in respect of slot short redemption, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity of the redemption process.

50. (1) Before a cheque or cashing facility may be granted to a patron, the patron shall sign a document authorising the licence holder to conduct such investigation as it may deem necessary to verify the accuracy of the information supplied by him or to establish his creditworthiness and identity.

Patron Cheque or Cashing Facility.

(2) The approval of a cheque or cashing facility, the limits in respect thereof and any subsequent changes thereto shall be considered by a committee or such other body as is specified in the licence holder's ICS and approved by the Board.

(3) The committee shall consist of key employees of the licence holder; provided that less than one half of the members may represent gaming departments and at least one member shall represent the Cash Desk.

(4) Prior to setting a cheque or cashing limit, a licence holder shall take the necessary steps to establish the patron's creditworthiness.

(5) A patron shall have access to his or her own player tracking and other cheque or cashing facility information, according to the procedures prescribed in the licensed operators ICS.

(6) Where applicable, the licence holder shall record in a patron's cheque or cashing file a detailed motivation for writing-off the whole or any part of such patron's debt, including the steps taken to collect such outstanding debt.

(7) Access to a patron's cheque or cashing facility information shall be restricted to persons who require access by virtue of their job function and who are authorised thereto in terms of the licence holder's ICS.

Chip Design.

51. (1) Before taking delivery of any gaming chips, a licence holder shall submit to the Board for its approval, a full colour drawing to scale of the design detail, diameter and measurements of such gaming chip, including the purpose of such gaming chips.

(2) The licence holder may purchase gaming chips only from a supplier licensed by the Board.

(3) A licence holder shall not manufacture or cause to be manufactured any gaming chips for use in its casino unless the design thereof has been approved by the Board.

(4) Each gaming chip must be designed and made so that, when such chip is stacked with gaming chips of other denominations, and viewed on the surveillance system, such is clearly distinguishable from gaming chips of other denominations in the stack.

(5) With the exception of non-value gaming chips, all other gaming chips shall clearly reflect the trading name of the licence holder.

(6) Representatives of the Cash Desk, Casino Administration and Gaming Security shall be present upon the receipt of gaming chips.

(7) The receipt and inventory in respect of gaming chips shall take place under camera coverage.

Value Chips.

52. Every value chip shall be designed in such a way that —

(a) the value of such chip is clearly reflected on both sides thereof;

(b) the colour used as the primary colour for any chip between the value of \$1.00 and \$500.00

will be selected from the range of colours listed in the Table under rule 57(1); and

- (c) where a licence holder uses a reserve set of such chips, the chips in the reserve set shall have primary colours which do not in any way resemble the primary colours allocated to the main set of chips of a corresponding value.

53. (1) Each set of non-value gaming chips used on a particular table, shall be designed in such a way as to be easily distinguishable from all other non-value gaming chips used on any other gaming tables and all other gaming chips used in the casino.

Non-Value
Chips.

(2) Unless specifically approved by the Board for competition or tournament purposes, a non-value gaming chip shall be used on a roulette table only.

(3) No patron at a roulette table shall be issued or permitted to wager with non-value gaming chips that are identical in design to non-value or value chips being used by another patron at the same table.

(4) If a non-value gaming chip is issued for play at a value higher than the table minimum, the Surveillance Department shall immediately be informed.

(5) Non-value gaming chips shall be redeemed only at the table at which they were issued.

(6) Non-value gaming chips may be redeemed only for value chips at the gaming table.

54. (1) If a licence holder uses a plaque with an equal denomination to a value gaming chip, the primary colour of the plaque shall be identical to the primary colour of the gaming chip of the corresponding value.

Plaques.

(2) Each plaque shall be square, rectangular, or oval in shape and no smaller than three inches in length and two inches in width, unless otherwise approved by the Board.

(3) Each plaque shall have clearly and permanently impressed, engraved or imprinted thereon the specific value of the plaque, the name or logo of the casino issuing it, and a serial number.

55. (1) Special use gaming chips shall include non-negotiable chips, promotional chips and other gaming chips not referred to in the Rules, and —

Special use
gaming chips.

-
- (a) may deviate from the colour requirements of the Table included under rule 57(1);
 - (b) shall be designed in such a manner as to be clearly distinguishable from any other gaming chips used by the licence holder; and
 - (c) shall clearly bear the inscription “non-negotiable”, “NN” “no cash value” or some similar indication of the limited negotiability of the chip on at least one side thereof.

(2) Prior to the use thereof, a licence holder shall submit for approval by the Board, provisions relating to the issue, use and restrictions applicable in respect of special use gaming chips.

Nature and exchange of gaming chips.

56. (1) All wagering conducted on gaming tables, other than by means of legal tender, shall be conducted with chips approved by the Board.

(2) A gaming chip issued to a patron by a licence holder is evidence of a debt which the licence holder owes to such patron and a licence holder shall promptly redeem its own gaming chips upon request by a patron, unless such gaming chips were obtained or are being used unlawfully.

- (3) A licence holder shall —
 - (a) issue gaming chips, other than special use gaming chips, to patrons at the Cash Desk or at a gaming table only; and
 - (b) redeem gaming chips at the Cash Desk only.

(4) A licence holder shall ensure that all gaming chips that form part of a gaming table float are properly accounted for and secured in an adequate manner to prevent any unauthorised access thereto.

57. (1) A casino operator shall make use of the following main set of gaming chip denominations with the corresponding prescribed primary colours, unless otherwise approved by the Board —

Prescribed colours.

VALUE	COLOUR
\$1.00	White
\$2.50	Pink
\$5.00	Red
\$25.00	Green
\$100.00	Black
\$500.00	Purple

(2) Any other gaming chip in the main or reserve set may not resemble the gaming chips and colours as prescribed in the Table set forth under this rule, unless otherwise approved by the Board.

(3) Should more than one shade of colour be used in the main or reserve set of gaming chips, the shades used must be clearly distinguishable from any other shade in the same colour range.

58. (1) The Board shall approve all other value instruments used to conduct gaming.

Other value instruments.

(2) Where other value instruments are used for gaming purposes, a licence holder shall redeem such only at the Cash Desk or by means of a device located in the casino gaming area and which is continuously controlled and monitored by the Cash Desk for the express purpose of value instrument issue and redemption.

(3) All approved value instruments legally held by a patron is evidence of a debt, which the licence holder owes to such patron and a licence holder shall promptly redeem its own value held on a player card or ticket upon request and presentation thereof by a patron, unless such player card or ticket values were obtained or are being used unlawfully.

Token Design.

59. (1) Before manufacturing or causing to be manufactured any token, a licence holder shall submit to the Board for its approval, a drawing to scale of the design detail, diameter and measurements of such tokens.

(2) The licence holder may acquire tokens—

- (a) only from a distributor or supplier licensed by the Board; and
- (b) which have been certified as complying with the applicable national norms and standards.

(3) A licence holder shall not manufacture or cause to be manufactured for its casino any tokens unless—

- (a) the metals and manufacturing specifications in respect thereof have been certified as complying with the relevant norms and standards; and
- (b) such tokens comply with the design approved in respect thereof by the Board.

(4) The trade name of the licence holder shall be reflected on at least one side of any token.

(5) Each token shall clearly reflect the value thereof.

Nature and exchange of tokens.

60. (1) All gaming on slot machines shall be conducted with tokens approved by the Board.

(2) Representatives of the Cash Desk, Casino Administration and Gaming Security shall be present upon the receipt of gaming tokens.

(3) The receipt and inventory in respect of gaming tokens shall take place under camera coverage.

(4) A token issued to a patron by a licence holder is evidence of a debt, which that licence holder owes to such patron and shall promptly redeem its own tokens upon request and presentation thereof by a patron, unless such tokens were obtained or are being used unlawfully.

(5) A licence holder shall issue and redeem tokens only at the Cash Desk or by means of a device located in the casino gaming area and continuously controlled and monitored by the Cash Desk for the express purpose of token issue and redemption.

(6) A licence holder shall ensure that tokens are secured in an adequate manner to prevent any unauthorised access thereto.

61. A casino cheque may be issued only for that portion of any redemption which the licence holder can establish to be winnings.

Redemption of chips, tokens and other value instruments.

CHAPTER 8 - GAMING SECURITY DEPARTMENT

62. At a minimum, the licence holder's Gaming Security Department ICS shall contain provisions and procedures relating to—

ICS.

- (a) physical access control ensuring that no persons under the age of eighteen years gain access to designated areas;
- (b) monitored key controls relating to—
 - (i) the ordering of keys;
 - (ii) the receipt of keys;
 - (iii) the issue of keys;
 - (iv) the personnel involved in any of the procedures referred to in this paragraph;
 - (v) the return of keys;
 - (vi) procedures in respect of key bunches;
 - (vii) procedures in respect of duplicate keys;
 - (viii) procedures in respect of lost keys;
 - (ix) dual control procedures relating to keys;
 - (x) key storage areas; and
 - (xi) the destruction of keys;
- (c) the issuing of access control cards and the personnel access levels for the secured areas prescribed in these Rules;
- (d) the controls for receipt, storage, issue, return and filing of value and controlled stationery;
- (e) the controls for the issue of slot machine logic area seals, including access to the slot machine logic areas;
- (f) slot machine hopper fills;
- (g) the checking and recording of hopper bag and slot machine spillage;
- (h) jackpot verification;
- (i) slot short signing limits;
- (j) the method and procedure to be used for the transportation of chips, other gaming and gaming-related devices and documentation

- which is required to be secured or sealed, including table game fill and credits;
- (k) card and dice control, including —
 - (i) the receipt thereof;
 - (ii) the storage thereof;
 - (iii) the issue thereof;
 - (iv) return of the cards and dice from the Surveillance Department;
 - (v) the control thereof;
 - (vi) the method of accounting for all cards and dice;
 - (vii) the management of re-usable cards; and
 - (viii) the disposal of cards and dice;
 - (l) the slot machine hard, slot machine bill and table soft and emergency clearances;
 - (m) the slot machine hard, slot machine bill and table soft and emergency counts, when applicable;
 - (n) the investigation of gaming-related incidents, where applicable; and
 - (o) the resolution of patron disputes, where applicable.

Key control standards.

63. (1) The Gaming Security Department shall maintain detailed records in respect of each monitored key that is made, duplicated or destroyed, reflecting —

- (a) the type of keys made, duplicated or destroyed;
- (b) the number of keys made, duplicated or destroyed;
- (c) the date of such creation, duplication or destruction;
- (d) the reasons for any destruction, where applicable; and
- (e) the signatures of all employees involved in the creation, duplication or destruction.

(2) A representative of the Gaming Security Department shall receive and where applicable, destroy all monitored keys referred to in this rule and enter such key transactions into the bulk registers.

(3) A representative of the Surveillance Department shall witness and verify the receipt and destruction of all

monitored keys and attest to the accuracy of the bulk register entries.

(4) The Gaming Security Department shall secure, issue, and control the following monitored keys —

- (a) slot machine cabinet door keys;
- (b) slot machine drop box cabinet keys;
- (c) canister release keys;
- (d) canister contents keys;
- (e) canister storage rack keys;
- (f) drop box release keys;
- (g) drop box contents keys;
- (h) drop box storage rack keys;
- (i) table game float keys;
- (j) clearance trolley keys;
- (k) count room keys;
- (l) such other keys as are required to be monitored or controlled in terms of the Act; and
- (m) each duplicate key to the monitored keys referred to in paragraphs (4)(a) to (l) above.

(5) All monitored keys shall be kept in a secured area in a manner approved by the Board.

(6) Access to the designated area for monitored keys shall be limited to authorised Gaming Security personnel only; provided that duplicate keys shall be stored separately from the original keys.

(7) The Surveillance Department shall be notified of any unscheduled access to monitored keys and all instances where duplicate keys are accessed.

(8) The Gaming Security Department shall record the reason for the unscheduled access to monitored keys in the relevant key control registers to which it relates or the Security Department Occurrence Book.

(9) In respect of —

- (a) table game drop box and slot machine canister release keys—
 - (i) only employees authorised to remove drop boxes or canisters, one of whom shall be of the Gaming Security Department, shall be allowed access to the release keys;

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- (ii) employees authorised to remove table game drop boxes or slot machine canisters shall not have access to the respective drop box or canister contents keys;
 - (iii) a representative of the Gaming Security Department shall be present for the entire period during which a table game drop box or slot machine canister containing uncounted drop is removed;
 - (iv) notwithstanding the provisions of this rule, a Gaming Security representative may, for the duration of a shift, be issued with canister release keys which may be used only for the purposes of —
 - (aa) resolving disputes arising in respect of bills inserted into a slot machine;
 - (bb) performing routine maintenance on bill validators without accessing the canister contents; and
 - (cc) attending to malfunctions on bill canisters;
 - (b) slot machine drop box cabinet keys —
 - (i) keys required to access slot machine drop box cabinets shall be safeguarded in such a manner that no fewer than two individuals acting together, one of whom shall be a representative of the Gaming Security Department, shall be in a position to access the drop box cabinet area at any time;
 - (ii) a Gaming Security representative, who is independent of the key custodian, shall accompany such keys while they are checked out and observe the procedure each time slot machine drop box cabinets are accessed;
 - (iii) the Surveillance Department shall be informed prior to any access to such keys and shall record such information in the Surveillance Electronic Occurrence Book;
 - (c) table game drop box and slot machine canister contents keys —
 - (i) drop box and canister contents keys shall be safeguarded in such a manner that only a

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- representative of the Gaming Security Department shall have access to such keys;
- (ii) surveillance personnel shall verify that employees obtaining the keys are authorised to do so and that at least two people of different departments are present when such keys are accessed;
 - (iii) in circumstances where it is necessary to access a canister or drop box other than for the purpose of a count, the Surveillance Department shall be notified and shall observe and record the entire process. A representative of the Gaming Security Department shall be present for the entire period during which the canister is removed and accessed;
 - (iv) notwithstanding the above, a Slot Machine Supervisor may, for the duration of a shift, be issued with a canister content key which may be used only for the purposes of resolving disputes arising in respect of bills inserted into the machine and attending to malfunctions on bill canisters;
 - (v) If a table game drop box requires re-setting while a table clearance is being performed, the clearance shall be completed and the uncounted drop secured before re-setting the empty drop box;
- (d) table float keys —
- (i) a Pit Boss shall sign out the table float keys from a representative of the Gaming Security Department at the beginning of the shift of such Pit Boss, unless otherwise approved by the Board;
 - (ii) the table float keys shall remain in the possession or under the control of the Pit Boss until they are signed back to a representative of the Gaming Security Department at the end of the shift of such Pit Boss unless otherwise approved by the Board;
- (e) clearance trolley keys —
- (i) a Gaming Security representative, who is independent of the key custodian, shall

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- accompany such keys whilst in the possession of the Clearance team;
- (ii) surveillance personnel shall verify that employees obtaining the keys are authorised to do so and that at least two people of different departments are present when such keys are accessed;
- (f) count room keys —
- (i) the Count or Clearance Supervisor shall sign out the count room keys;
 - (ii) in circumstances where it is necessary to access the count room at times other than those scheduled for a count, the Surveillance Department shall be notified and shall observe and record the entire process;
 - (iii) count room keys shall be safeguarded in such a manner that no fewer than two individuals of separate departments acting simultaneously, one of whom shall be a representative of the Gaming Security Department, shall have access to such keys;
- (g) table game drop box and canister storage rack keys —
- (i) in circumstances where it is necessary to access the storage rack keys at times other than those scheduled for counts or clearances, a representative of the Gaming Security Department shall accompany such keys and observe the process whenever full canisters are removed from or placed in storage racks;
 - (ii) employees who retain custody of or authorised to obtain drop box and canister storage rack keys shall not have custody of or access to drop box or canister contents keys; provided that the count team shall have such access for the sole purpose of resetting the boxes during the count;
- (h) duplicate keys, which shall be maintained in a manner that will provide for at least the same degree of control as is required for the original keys.

64. The Gaming Security Department shall maintain key control registers for each monitored key or combination of keys referred to in the Rules, in which all monitored key transactions are recorded. Key control registers.

65. (1) Seals shall be designed and constructed so as to reflect any attempt at tampering therewith. Seal controls.

(2) All seals used for gaming purposes shall be uniquely pre-numbered.

(3) Seals used for gaming purposes shall be of a different design or colour to those used for non-gaming purposes.

(4) The design specifications of all seals shall be submitted to the Board for approval before such seals may be used in the casino.

(5) All gaming-related seals shall be kept in a secured area.

(6) Access to the secure area referred to in this rule shall be limited to authorised Gaming Security representatives only.

(7) A representative of the Gaming Security Department shall receive all gaming-related seals and enter such into the bulk registers.

(8) A representative of the Surveillance Department shall verify the receipt of all gaming-related seals and attest to the accuracy thereof in the bulk registers.

(9) The issuing of logic area seals from the seal storage area shall be registered in the relevant seal control register.

(10) Slot machine logic area seals shall only be issued to a representative of the Gaming Security Department.

(11) The slot machine logic area seal shall not be broken and re-sealed unless a representative of the Gaming Security Department and a Slot Machine Technician are present.

(12) When a logic area seal is broken and re-sealed, an entry shall be made in the logic area seal register referred to in the Rules.

(13) Before a seal is removed from the logic area, a representative of the Gaming Security Department shall

compare the seal number affixed to the slot machine logic area with the seal number recorded in the logic area seal register.

(14) The Surveillance Department shall be notified before a logic area seal in a slot machine is broken and notified of the reason therefor.

Containers for the secure transportation of gaming-related devices and documentation.

66. (1) The containers used shall be designed and constructed so as clearly to reflect any attempt at tampering with the contents thereof.

(2) The Board shall approve the design specifications of all containers before such containers may be used in the casino.

Value Stationery.

67. (1) All value stationery shall be kept in secured storage areas and be easily accessible when required by the Board.

(2) Access to all value stationery in the secured areas shall be limited to personnel authorised thereto in terms of the licence holder's ICS.

(3) Casino Administration shall be responsible for the ordering of all value stationery.

(4) Representatives of Casino Administration and the Gaming Security Department shall verify the receipt of all value stationery into the secured bulk storage area and enter such into the bulk storage registers.

(5) The issue and receipt of all value stationery shall be registered in stationery registers.

(6) The Gaming Security Department shall issue value stationery from the bulk storage area.

(7) The Gaming Security Department shall receive all manual completed value stationery books and forward such to the Casino Administration Department.

(8) Value stationery shall comply with the criteria and contain the detail required in terms of this rule.

(9) All sections on the value stationery documents shall be completed accurately by the relevant employees.

(10) Information required to be reflected on value stationery shall be recorded in ink or such other permanent medium as the Board may require or approve.

(11) The cancelling or voiding of value stationery documents shall be recorded as such on the documents and

be signed by the person accountable for the relevant transaction.

(12) Corrections to information recorded on value stationery shall be made by drawing a single line through the error and entering the correct detail whereupon at least one employee involved in the transaction shall append his or her initials alongside the changes, specifying his or her employee details.

(13) All signatures on value stationery shall be accompanied by the company identification number of the signatory.

(14) Casino Administration shall ensure that value stationery, which requires strict security controls, is purchased only from a company approved for this purpose by the Board.

(15) Notwithstanding the provisions of this rule, where a licence holder utilises a computerised system and electronic identification protocols, the Board may approve different requirements and provisions in respect of value stationery, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity and validity of the computerised system and reports generated.

(16) The licence holder may combine certain of the documents specified in this rule with computer-generated reports, provided that the licence holder is able to prove to the Board the validity and correctness of the information contained in the registers and reports and demonstrates that the integrity of the documentation is not prejudiced by such combination.

(17) Value stationery shall—

(a) in respect of slot shorts—

- (i) include duplicate documents, provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record and the original document shall be a single sheet;
- (ii) be uniquely numbered;
- (iii) be pre-printed, if a manual system is used;
- (iv) have the same pre-printed number on all copies of the document, if a manual system is used;

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- (v) reflect the date and time of the relevant transaction;
 - (vi) reflect the slot machine number and denomination in respect of which the transaction is performed;
 - (vii) reflect the dollar amount of the transaction, expressed both in words and in numbers, or the description of the prize awarded, if such is not cash;
 - (viii) in respect of hand-written jackpot and progressive jackpot pay-outs, reflect the game outcome, including reel symbols, card values and suits or such other display as is applicable;
 - (ix) in respect of all hand-written slot shorts, bear the signatures of at least two employees, one of whom shall be a Slot Machine Supervisor, in accordance with the signing limits specified in the licence holder's ICS;
 - (x) in respect of computer generated slot shorts, bear the signature of at least one employee as per signing limits specified by the licence holder's ICS;
 - (xi) reflect the type of transaction (i.e. jackpot, credit win, short pay, hopper fill, special pay, progressive jackpot or supplementary prize);
 - (xii) bear the signature of the Cashier verifying the redemption of the slot short;
 - (xiii) in respect of hopper fills—
 - (aa) bear the signatures of the Slot Machine Attendant and a Slot Machine Supervisor or security representative, verifying receipt of the hopper bag and deposit of the tokens or coins into the slot machine hopper, as well as the signatures of such other employees as may be required in terms of the signing limits specified in the licence holder's ICS; and

-
- (bb) for hopper fills over \$200.00, also bear the signature of the Gaming Security representative;
 - (xiv) in respect of pay-outs to patrons —
 - (aa) reflect the patron's name and details on all copies;
 - (bb) bear the patron's signature on all copies, verifying the winning value and receipt of the slot short; and
 - (cc) bear the signatures of the Cashier and patron on the original document presented for redemption of the slot short, verifying the receipt of the winnings;
 - (xv) in respect of supplementary prizes, reflect the type of promotion to which the prize relates;
 - (b) in respect of table openers and closers—
 - (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
 - (ii) be pre-printed, if a manual system is used;
 - (iii) be uniquely numbered;
 - (iv) reflect the relevant table number;
 - (v) reflect the opening and closing date and time;
 - (vi) reflect the opening float value and closing float value; and
 - (vii) at a minimum, bear the signatures of the Dealer, Inspector and Pit Boss verifying the opening and closing float value;
 - (c) in respect of table fills and credits—
 - (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
 - (ii) be pre-printed, if a manual system is used;
 - (iii) be uniquely numbered;
 - (iv) reflect the relevant table number;
 - (v) reflect the date and time of the transaction;

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- (vi) reflect the value of the table fill or credit;
and
 - (vii) at a minimum, bear the signatures of the Dealer, Inspector, Pit Boss and Cashier verifying the table fill and credit value;
 - (d) in respect of table game payout forms—
 - (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
 - (ii) be pre-printed, if a manual system is used;
 - (iii) be uniquely numbered;
 - (iv) reflect the relevant table number;
 - (v) reflect the date and time of the transaction;
 - (vi) specify the game description;
 - (vii) reflect the value of the payout;
 - (viii) reflect the winning combination or symbols;
 - (ix) specify the value of a partial pay from the table float, where applicable;
 - (x) reflect the personal details of the patron;
 - (xi) bear the signature of the patron, verifying the winning value;
 - (xii) at a minimum, bear the signatures of the Dealer and an employee in a table supervisory position, verifying the winning value, and such other signatures as may be required in terms of the signing authority levels contained in the licence holder's ICS;
 - (xiii) bear the signature of the patron verifying the redemption of the form at the Cash Desk; and
 - (xiv) bear the signature of the Cashier redeeming the form;
 - (e) in respect of management decision payout sheets —
 - (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
 - (ii) be uniquely numbered;
 - (iii) reflect the relevant date and time;

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- (iv) bear the name of the patron;
 - (v) reflect the relevant table number or slot machine number;
 - (vi) reflect a description of the incident or dispute;
 - (vii) reflect the value of the payout, including the value of the legal payout, if applicable;
 - (viii) reflect the Surveillance Electronic Occurrence Book entry number; and
 - (ix) bear the signature of the personnel authorising the management decision;
- (f) in respect of count sheets —
- (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
 - (ii) be uniquely numbered;
 - (iii) reflect the count date;
 - (iv) bear the signatures of the Count Supervisor, one other member of the count team and representatives of the Cash Desk and Casino Administration;
 - (v) in respect of the slot machine bill count —
 - (aa) reflect the relevant slot machine number;
 - (bb) specify the number of bills counted per slot machine; and
 - (cc) specify the total value of bills counted;
 - (vi) in respect of the slot machine hard count —
 - (aa) reflect the relevant slot machine number;
 - (bb) specify the number of tokens or coins counted per slot machine or the value thereof; and
 - (cc) specify the total number or value of tokens or coins counted;
 - (vii) in respect of the table game soft count —
 - (aa) reflect the actual drop per table, including cash, value chips, plaques, and other value instruments used to reflect buy-in;

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- (bb) reflect the estimated drop per table;
 - (cc) reflect all table fills and credits per table;
 - (dd) reflect opening and closing table float values per table; and
 - (ee) reflect the total value of drop counted;
 - (viii) the details required in terms of this rule, shall be recorded on count sheets used for emergency counts, which, notwithstanding the provisions of this rule, shall bear the signatures of the Count Supervisor, one other member of the count team and a representative of the Cash Desk who does not perform any function in relation to the count proceeds;
 - (g) in respect of player card transaction slips —
 - (i) reflect the details of the patron;
 - (ii) reflect the date and time of the transaction;
 - (iii) reflect the value of the transaction;
 - (iv) reflect the relevant table number, where applicable;
 - (v) bear the signature of the Dealer or Cashier, where applicable; and
 - (vi) bear the signature of the patron, in the event of a table game transaction;
 - (h) in respect of unclaimed credit and jackpot documentation—
 - (i) be uniquely numbered;
 - (ii) bear the signatures of the Slot Machine Supervisor or Table Game Supervisor and Cashier verifying the receipt of the unclaimed value as well as the redemption thereof;
 - (iii) reflect the date and time that the unclaimed credit or jackpot was found;
 - (iv) reflect the relevant slot machine number or table number;
 - (v) specify the relevant unclaimed value;
 - (vi) contain a description of the source of the unclaimed value;

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- (vii) specify the cumulative total of unclaimed value held per tax period;
 - (viii) reflect the date of redemption; and
 - (ix) specify the cumulative total of redeemed value per tax period;
 - (i) in respect of testing money —
 - (i) be pre-numbered;
 - (ii) reflect the date and time the tests were performed;
 - (iii) reflect the relevant slot machine number;
 - (iv) specify the value received from the Cash Desk for testing purposes;
 - (v) specify the value returned to Cash Desk, where applicable;
 - (vi) reflect the reason for the test; and
 - (vii) bear the signatures of representatives of the Slot Machine and Gaming Security Departments; and
 - (j) in respect of tickets —
 - (i) be printed with a heading that uniquely identifies the ticket for TITO purposes, e.g. “Cash Out Ticket”;
 - (ii) reflect the number of the gaming machine or gaming device at which it was issued;
 - (iii) include the unique identifier of the TO device used to print the ticket;
 - (iv) prominently display the date and time-stamp at the time of printing, e.g. “Printed: dd/mm/yy; hh:mm:ss AM/PM”;
 - (v) be labelled with its value in dollars and cents in a font larger than the other text on the ticket;
 - (vi) be printed with the authentication code sent by the TO system as part of the approval of the ticket-out process;
 - (vii) be encoded with a machine-readable authentication code secure enough to prevent tampering or forgery;
 - (viii) which are vulnerable to environmental conditions, include appropriate short storage and handling messages, e.g. “Do

not store with plastic - print may fade” or
“Do not store in direct sunlight”; and

(ix) not contain any promotional or advertising information.

Controlled
Stationery.

68. (1) All controlled stationery shall be kept in secured storage areas and be easily accessible when required by the Board.

(2) Access to all controlled stationery in the secured areas shall be limited to personnel authorised thereto in terms of the licence holder’s ICS.

(3) Representatives of Casino Administration and the Gaming Security Department shall verify the receipt of all controlled stationery into the secured bulk storage area and enter such into the bulk storage registers.

(4) The issue and receipt of all controlled stationery shall be registered in stationery registers.

(5) The Gaming Security Department shall issue controlled stationery from the bulk storage area.

(6) Controlled stationery shall comply with the criteria and contain the detail required in terms of this rule or the licence holder’s ICS.

(7) All sections on the controlled stationery documents shall be completed accurately by the relevant employees.

(8) Information required to be reflected on controlled stationery shall be recorded in ink or such other permanent medium as the Board may require or approve.

(9) The cancelling or voiding of controlled stationery documents shall be recorded as such on the documents and be signed by the person accountable for the relevant transaction.

(10) Corrections to information recorded on controlled stationery shall be made by drawing a single line through the error and entering the correct detail whereupon at least one employee involved in the transaction shall append his or her initials alongside the changes, specifying his or her employee details.

(11) All signatures on controlled stationery shall be accompanied by the company identification number of the signatory.

(12) Casino Administration shall ensure that controlled stationery, which requires strict security controls, is purchased only from a company approved for such purpose by the Board.

(13) Notwithstanding the provisions of this rule, where a licence holder utilises a computerised system and electronic identification protocols, the Board may approve different requirements and provisions in respect of controlled stationery, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity and validity of the computerised system and reports generated.

(14) The licence holder may combine certain of the registers specified in this rule and combine the registers with computer-generated reports, provided that the licence holder is able to demonstrate to the Board the validity and correctness of the information contained in the registers and reports and that the integrity of the documentation is not compromised by such combination.

(15) Controlled stationery shall—

(a) in respect of monitored key registers—

- (i) be bound;
- (ii) be pre-numbered;
- (iii) provide for an inventory of any key or keys that the register relates to;
- (iv) reflect the date and time any key is signed out;
- (v) bear the signature of the custodian issuing the keys;
- (vi) bear the signature of the employee receiving the keys;
- (vii) bear the signature of the witness, where applicable;
- (viii) indicate the reason for unscheduled access, where applicable;
- (ix) specify the old seal number if the container containing the key or keys is sealed;
- (x) reflect the date and time any key is returned;
- (xi) bear the signature of the employee returning the keys;

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- (xii) bear the signature of the custodian of the keys;
 - (xiii) bear the signature of the witness, where applicable; and
 - (xiv) specify the new seal number if the container containing key or keys is sealed;
- (b) in respect of the value and controlled stationery bulk store registers;
- (i) be bound;
 - (ii) be pre-numbered;
 - (iii) reflect the date on which the relevant stationery is received;
 - (iv) contain a description of the relevant stationery;
 - (v) reflect the range of the relevant stationery;
 - (vi) bear the signatures of representatives of the Gaming Security Department and Casino Administration receiving the relevant stationery;
 - (vii) reflect the date the relevant stationery is issued;
 - (viii) reflect the range of the relevant stationery issued;
 - (ix) bear the signature of the Gaming Security representative issuing the relevant stationery;
 - (x) bear the signature of the employee receiving the stock; and
 - (xi) reflect the running stock total of the relevant stationery;
- (c) in respect of the daily issue value stationery registers —
- (i) be bound;
 - (ii) be pre-numbered;
 - (iii) reflect the date the relevant stationery is received;
 - (iv) reflect the ranges of the relevant stationery received;
 - (v) contain a description of the relevant stationery;
 - (vi) bear the signature of the employee receiving the relevant stationery;

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- (vii) reflect the old seal number if the relevant stationery is sealed in a container;
 - (viii) reflect the current stock level;
 - (ix) reflect the date the relevant stationery is issued;
 - (x) reflect the ranges of the relevant stationery issued;
 - (xi) contain a description of the relevant stationery issued;
 - (xii) bear the signature of the employee issuing the relevant stationery;
 - (xiii) bear the signature of the employee receiving the relevant stationery; and
 - (xiv) specify the new seal number if the relevant stationery is sealed in a container;
- (d) in respect of the bulk logic area seal registers —
- (i) the provisions of paragraph (b) shall apply, with the necessary changes; and
 - (ii) notwithstanding the provisions of paragraph (b), representatives of the Gaming Security and Surveillance Departments shall sign for receipt of the seals into the bulk storage area and a representative of the Gaming Security Department shall issue the logic area seals;
- (e) in respect of daily logic area seal documentation —
- (i) be pre-numbered;
 - (ii) reflect the relevant slot machine number;
 - (iii) reflect the date and time of the seal change;
 - (iv) specify the old seal number;
 - (v) specify the new seal number;
 - (vi) indicate the reason for the seal change;
 - (vii) bear the signature of the gaming security representative; and
 - (viii) bear the signature of the Slot Machine Technician;
- (f) in respect of the surveillance system malfunction, alteration and maintenance registers—
- (i) be bound;

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- (ii) be pre-numbered;
 - (iii) reflect the date and time that the malfunction occurred;
 - (iv) contain a description of the malfunction;
 - (v) bear the signature of the employee reporting the malfunction;
 - (vi) reflect the date and time that the malfunction was repaired or any alteration or maintenance was performed;
 - (vii) contain a description of the repair, alteration or maintenance performed;
 - (viii) bear the signature of the employee performing the repair, alteration or maintenance; and
 - (ix) bear the signature of the employee of the rank of at least Surveillance Shift Manager; verifying the repair, alteration or maintenance;
- (g) in respect of EMS malfunction, change and upgrade documentation –
- (i) reflect the date and time that the malfunction occurred;
 - (ii) contain a description of the malfunction;
 - (iii) bear the name or company ID and signature of the employee reporting the malfunction;
 - (iv) reflect the date of the relevant repair, change or upgrade;
 - (v) contain a description of the relevant repair, change or upgrade;
 - (vi) indicate the reason for the relevant change or upgrade, and
 - (vii) bear the signatures of the employee performing the repair, change or upgrade and the IT Manager;
- (h) in respect of EMS and gaming-related system back-up documentation —
- (i) reflect the date and time of the backup;
 - (ii) indicate the type of backup;
 - (iii) reflect the backup tape reference number;
 - (iv) bear the signature of the employee performing the backup, where applicable; and

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- (v) specify the location at which the backup tape is stored;
 - (i) in respect of the gaming device asset registers —
 - (i) reflect the unique serial or asset number of the relevant device;
 - (ii) contain a description of the relevant gaming device;
 - (iii) reflect the Board approval reference number;
 - (iv) specify the supplier name;
 - (v) reflect the date on which gaming device was placed into service;
 - (vi) specify the location of the relevant device;
 - (vii) reflect the date on which the relevant device was removed from service; and
 - (viii) reflect the location to which the relevant device has moved;
 - (j) in respect of gaming and related device maintenance register —
 - (i) be bound;
 - (ii) be pre-numbered;
 - (iii) reflect the unique asset and serial number in respect of the relevant device;
 - (iv) reflect the date and time of the maintenance performed;
 - (v) provide a description of the maintenance performed;
 - (vi) reflect the seal number, where applicable;
 - (vii) bear the signature of the employee performing the maintenance; and
 - (viii) bear the signature of the employee witnessing the maintenance;
 - (k) in respect of RAM reset documentation —
 - (i) be pre-numbered and in duplicate;
 - (ii) reflect the relevant slot machine number;
 - (iii) reflect the date and time of the RAM reset;
 - (iv) indicate the reason for the RAM reset;
 - (v) reflect the slot machine soft meter readings prior to the RAM reset, when possible, or attach a printout of the meter information on the EMS, prior to the RAM clear; and

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- (vi) bear the signatures of the Slot Machine Technician and Slot Machine Supervisor;
 - (l) in respect of playing card bulk control register—
 - (i) the provisions of rule 68(15)(b) shall apply, with the necessary changes; and
 - (ii) notwithstanding anything to the contrary in these Rules, a representative of the Surveillance Department shall sign as witness for the receipt of playing cards and entering into the playing card bulk store register;
 - (m) in respect of playing card daily issue registers—
 - (i) be bound;
 - (ii) be pre-numbered;
 - (iii) reflect the date of receipt of the relevant playing cards;
 - (iv) reflect the colour and type of cards received;
 - (v) specify the number of decks received;
 - (vi) bear the signature of the employee receiving the cards;
 - (vii) reflect the current stock level at time of—
 - (aa) receiving cards from bulk storage;
 - (bb) issue of cards to the Table Game Department; and
 - (cc) return of cards from the Surveillance Department;
 - (viii) reflect the date of issue of the relevant cards to the Table Game Department;
 - (ix) reflect the colour and type of cards issued;
 - (x) specify the number of decks issued to the Table Game Department;
 - (xi) specify the table or pit to which the relevant cards have been issued;
 - (xii) reflect the card control form reference number;
 - (xiii) reflect the relevant seal number;
 - (xiv) bear the signature of the employee issuing the cards;
 - (xv) bear the signature of the employee receiving the cards;

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- (xvi) reflect the date on which the relevant cards were received from the Surveillance Department;
 - (xvii) reflect the colour and type of cards received from the Surveillance Department;
 - (xviii) specify the number of decks received from the Surveillance Department;
 - (xix) reflect the number and colour of decks destroyed;
 - (xx) specify the number of decks retained by the Surveillance Department; and
 - (xxi) bear the signature of a representative of the Surveillance Department;
- (n) in respect of a playing card control form—
- (i) be pre-numbered;
 - (ii) reflect the date of issue of the relevant playing cards to the Table Game Department;
 - (iii) reflect the colour and type of cards issued to the Table Game Department;
 - (iv) specify the number of decks issued to the Table Game Department;
 - (v) specify the table or pit to which the relevant cards were issued;
 - (vi) reflect the seal numbers in respect of the relevant card containers;
 - (vii) bear the signatures of the Gaming Security and Table Game Department representatives;
 - (viii) bear the signatures of the Dealer and Inspector attesting to the seal numbers and inspection of the playing cards upon receipt thereof;
 - (ix) reflect the seal numbers when decks are re-sealed at table game closing;
 - (x) bear the signatures of the Dealer and Inspector attesting to the seal numbers and inspection of the playing cards at table game closing;
 - (xi) bear the signature of the Surveillance Department representative attesting to the receipt of the playing cards, as well as the seal numbers in respect thereof; and

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- (xii) specify the number of decks to be disposed of and the number of decks returned to the Gaming Security Department;
 - (o) in respect of playing card retention and disposal registers —
 - (i) be bound;
 - (ii) be pre-numbered;
 - (iii) reflect the date on which cards are retained by the Surveillance Department and disposed of by the Gaming Security Department;
 - (iv) reflect the current stock level at the time when the relevant cards are retained by the Surveillance Department and disposed of by the Gaming Security Department;
 - (v) reflect the colour and type of playing cards retained and disposed of;
 - (vi) specify the number of decks retained and disposed of;
 - (vii) indicate the reason for retaining or disposing of the playing cards; and
 - (viii) bear the signatures of the representatives of the Gaming Security and Surveillance Department witnessing the disposal of the playing cards.

Access control cards and secured areas.

69. (1) Each employee shall complete a form to be signed by the relevant supervisor, who shall specify and authorise the access level of such employee.

(2) The Gaming Security Department shall verify that employees who are no longer employed by the licence holder are removed from the access control system.

(3) The following areas shall be deemed to be secured areas and only appropriately authorised personnel shall have access thereto —

- (a) IT office and file server rooms;
- (b) UPS rooms;
- (c) surveillance rooms and offices and other areas with live surveillance visual signals, including the DVL;
- (d) count rooms;
- (e) areas where uncounted drop is stored or secured;

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- (f) storage areas for logic area seals, value and controlled stationery, playing cards and dice;
 - (g) monitored key issue areas;
 - (h) the on-site office of the Board; and
 - (i) such other areas as may be specified by the Board from time to time.

(4) Access to the areas referred to in this rule shall be restricted to personnel authorised thereto in terms of the Act and the licence holder's ICS.

70. (1) A licence holder shall not permit or cause to be used in its casino any cards or dice unless the design and manufacturing specifications thereof have been approved by the Board.

Card and dice requirements.

(2) Cards used to play Poker, Black Jack and Punto Banco respectively shall be different in design.

(3) Cards shall be in decks of 52 cards each.

(4) Each deck of cards shall be composed of four suits namely, diamonds, spades, clubs and hearts.

(5) Each suit shall comprise of 13 cards being —

- (a) Ace;
- (b) King;
- (c) Queen;
- (d) Jack;
- (e) Ten;
- (f) Nine;
- (g) Eight;
- (h) Seven;
- (i) Six;
- (j) Five;
- (k) Four;
- (l) Three; and
- (m) Two.

(6) The cards shall be designed in such a manner that the values and suits of the cards can be identified by Surveillance at the time of play.

(7) The back of each card in the deck shall be identical and no card shall contain any marking, symbol or design that will enable a person to know the identity of any element printed on the face of the card or that will in any

way differentiate the back of the card from any other card in the same deck.

(8) The back of all cards in the deck shall be designed so as to diminish, as far as possible, the ability of any person to place concealed markings thereon.

(9) The design to be placed on the back of the cards shall be different to the design used by any other licence holder.

(10) Each deck of cards shall be wrapped separately and the wrapping shall be designed to reflect any attempt at tampering therewith.

(11) A licence holder shall have a sufficient number of colours for each game where playing cards are utilised to ensure that —

- (a) a colour can be withdrawn from use; and
- (b) in relation to Poker games, different colours of cards are used at tables that are opened simultaneously.

71. (1) A representative of the Gaming Security Department in conjunction with a representative of the Surveillance Department, shall receive and examine the cards and dice to ensure that the wrapping of the cards and dice have not been tampered with.

(2) If the wrapping has been tampered with, the relevant cards or dice shall immediately be inspected to ensure that they conform to the applicable specifications and are suitable for play.

(3) If the cards or dice wrapping have not been tampered with, the cards or dice shall be locked in a secured area controlled by the Gaming Security Department, the key to which shall be maintained by the Gaming Security Department.

(4) After checking the cards or dice received, a representative of the Gaming Security Department shall record the details of the cards or dice received in a card or dice inventory register, as the case may be.

(5) A representative of the Gaming Security Department shall receive all cards and dice and enter the details of such into the bulk registers.

(6) A representative of the Surveillance Department shall be present upon receipt, storage and entering into the

Receipt,
inspection,
storage and
removal from
storage of cards
and dice.

relevant inventory of all cards or dice received to attest to the accuracy of the entries made in the bulk registers.

(7) The Gaming Security Department shall, prior to the commencement of each gaming day, remove the appropriate number of cards and dice for that gaming day from the storage areas and immediately place the cards or dice assigned to each gaming table in separate sealed containers, for distribution to the pit.

(8) The Surveillance Department shall be informed of the storage, removal from storage and the placement into sealed containers of all cards and dice and shall monitor and record information in the Electronic Occurrence Book.

72. (1) When dice are to be distributed to a pit, a representative of the Gaming Security Department shall remove the dice from the storage area and shall hand them directly to the Pit Boss in the pit.

Issue and control of dice.

(2) Upon receipt of the dice at a gaming table, the box person shall, in the presence of the Dealer, inspect the dice with a micrometre or any other instrument approved by the Board for suitability and compliance with the applicable national norms and standards.

(3) If the dice are found to be suitable and comply with the applicable national norms and standards, the box person shall, in the presence of the Dealer, place the dice in a cup on the table for use in gaming.

(4) At no stage while the dice are at the gaming table shall they be left unattended.

(5) The Pit Boss shall place a reserve set of dice in the pit desk.

(6) Dice kept in the pit desk shall be placed in a locked compartment, the keys to which shall be in the possession of the Pit Boss.

(7) No dice shall be used for gaming unless they have been inspected in accordance with this rule.

73. (1) A licence holder shall, at any time during a gaming day, remove dice from the gaming table if—

Removal from use and disposal of dice.

(a) there is any indication that such dice have been or may have been tampered with;

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- (b) such dice display such other defect as might negatively affect the integrity or fairness of the game; or
 - (c) requested to do so by an authorised officer of the Board.
- (2) A Pit Boss shall, at the end of each gaming day, or at such other times as may be necessary, physically inspect each die for evidence of tampering.
- (3) Any evidence of tampering shall immediately be reported to the Surveillance Department.
- (4) The inspection referred to in this rule shall be performed in the following manner —
- (a) the inspection shall be performed by a Pit Boss other than the one who originally received the dice;
 - (b) any dice showing evidence of tampering shall be sealed in a separate container;
 - (c) a label shall be attached to the container referred to in paragraph (b), specifying the relevant table number and the date and time of the relevant inspection and shall be signed by the box person and the Pit Boss;
 - (d) the Surveillance Department representative receiving the dice shall sign for receipt of the dice and retain the dice in a safe or vault within the Surveillance Department for a period of two months or such longer period as may be required by the Board;
 - (e) all other dice removed from the table shall be placed in individual containers to which labels, identifying the relevant table number and date, shall be attached;
 - (f) each container referred to in paragraph (e) shall be appropriately sealed and maintained in a secure place within the pit until collection by the Surveillance Department at the end of the gaming day.
- (5) No dice that have been placed in a cup for use in a gaming game shall remain on the table for more than twenty-four hours.
- (6) All reserve dice, which are to be destroyed, shall at the end of each gaming day be placed in a sealed

container, to which a label specifying the date and signed by the Pit Boss shall be attached.

(7) A representative of the Surveillance Department shall, at least once every gaming day, collect and sign for all containers with used dice or reserve dice that are to be disposed of, and shall transport them to the Surveillance Department for inspection and destruction.

(8) Representatives of the Gaming Security Department shall, at least once every gaming day, collect and sign for all reserve dice which are still sealed.

(9) All used dice, other than dice retained by the Surveillance Department for investigation purposes, shall be inspected by the Surveillance Department and disposed of by the Gaming Security Department within 48 hours of collection thereof.

(10) Dice shall be disposed of either by drilling a hole through each die or by incinerating them, or by such other method as may be approved by the Board.

(11) The disposal of dice shall take place in the presence of a representative of the Surveillance Department in a secure place and be continuously monitored and recorded by the Surveillance Department.

74. (1) When cards are to be distributed to a pit, a representative of the Gaming Security Department shall remove the cards from the storage area and shall hand them directly to the Pit Boss in the pit.

Issue and control of cards.

(2) The Pit Boss shall, under camera coverage, verify that all decks of cards are present and are of the correct colour.

(3) Each Dealer shall, before using a deck of cards, inspect all the cards in the deck and an Inspector shall verify such inspection.

(4) When inspecting the cards the Dealer shall —

- (a) sort each pack in sequence per suit to ensure that all cards are in the deck; and
- (b) check the back of each card to ensure that it is not scratched or marked in any way.

75. (1) If, at any time an unsuitable or damaged card is found, the Pit Boss shall be notified and shall replace the unsuitable or damaged card with a substitute card from the replacement set kept in the pit stand.

Removal from use and disposal of cards.

(2) An unsuitable or damaged card referred to in this rule shall be sealed in a container and labelled, identifying the—

- (a) table number;
- (b) card or cards damaged; and
- (c) date and time, and the container shall be signed by the Dealer, the Inspector and the Pit Boss assigned to that table.

(3) When unsuitable or damaged cards are removed from a table, the Surveillance Department shall be notified immediately and the cards shall be placed in a secure container by the Pit Boss.

(4) All cards which have been issued to the pit shall be removed from use at least once during every gaming day.

(5) At the end of each gaming day, the Pit Boss or authorised delegate shall collect all cards issued to the pit.

(6) All cards collected in terms of this rule shall be placed in an individually sealed container to which a label, signed by the Dealer and Inspector assigned to the relevant table, shall be attached identifying the table number and the date and time.

(7) The Pit Boss shall retain the containers referred to in this rule in a secure place within the pit.

(8) A licence holder shall, at any time during the day, remove any cards from the gaming tables if—

- (a) there is any indication that such cards have or may have been tampered with;
- (b) the cards display scratches, marks or any other defects which might negatively affect the integrity or the fairness of the game; or
- (c) requested to do so by an authorised officer of the Board.

(9) All extra cards in any replacement set of which the seals have been broken, shall be placed in a sealed container, to which a label, signed by the Pit Boss, identifying the date and time that the relevant seal was broken and the reason for breaking such seal, shall be attached.

(10) At the end of each gaming day or at such other times as may be necessary, the Surveillance Department

shall collect and sign for all containers with damaged cards, cards used during the gaming day, and all extra cards in the replacement set and shall return the containers to the Surveillance Department.

(11) The Surveillance Department shall inspect all cards used during the day for tampering, marks, alterations, missing or additional cards or anything that might indicate unfair play.

(12) The inspection of the cards by the Surveillance Department shall include —

- (a) the sorting of the cards sequentially by suit;
- (b) the inspection of the cards under ultra violet-light;
- (c) the inspection of the sides of the cards for crimps, bends, cuts or shavings;
- (d) the inspection of the front and the back of all cards for consistent shading and colouring; and
- (e) verifying the seal numbers affixed to the containers.

(13) Any evidence of tampering, marks, alterations, missing or additional cards or anything that might indicate unfair play discovered at the time of inspection, or at any other time, shall immediately be investigated.

(14) Details of the relevant investigation, contemplated in this rule, shall be contained in the weekly surveillance report submitted to the Board and the licence holder shall retain the relevant cards until such time as the Board authorises the destruction thereof.

(15) Unused cards that are still sealed in their original containers, or used cards that are still in a condition suitable for re-use which have been inspected and re-sealed by the Surveillance Department, may be returned to the storage area.

(16) The Pit Boss shall ensure that the playing card control form prescribed by these Rules accompanies such cards to the Surveillance Department, which shall retain such documentation.

(17) Upon completion of the card inspection, the Surveillance Department shall recommend which cards should be disposed of, with the exception of cards suitable for re-use, either by shredding or such other method as may be approved by the Board.

(18) The cards retained by the Surveillance Department and cards to be disposed of by the Gaming Security Department shall be kept in a secure location under continuous surveillance monitoring until they are disposed of.

(19) The cards to be disposed of shall be kept in complete decks of 52 cards.

(20) The Gaming Security Department shall dispose of cards, and the disposal shall take place in a secure location under continuous surveillance monitoring, within forty-eight hours of collection of such cards from the Table Game Department.

(21) A representative of the Surveillance Department shall witness the disposal of cards and a register shall be maintained and signed by representatives of the Gaming Security and Surveillance Departments attesting to the disposal of such cards.

CHAPTER 9 - SURVEILLANCE DEPARTMENT

ICS.

76. At a minimum, the licence holder's Surveillance Department ICS shall contain provisions and procedures relating to —

- (a) surveillance system maintenance, including system checks and equipment testing;
- (b) the administration with reference to the authorisation, allocation, amendment and termination of user access rights with regard to the Electronic Occurrence Book and digital recording system, where applicable;
- (c) surveillance system malfunctions, including the recording and correction thereof;
- (d) access to the surveillance monitoring room and other offices within the Surveillance Department;
- (e) access to surveillance recordings;
- (f) performance of surveillance system checks;
- (g) the management of the digital video library ("DVL"), including—
 - (i) the storage of disks;
 - (ii) treatment of evidence footage;
 - (iii) the withdrawal of footage; and
 - (iv) the destruction of disks where applicable;

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- (h) the documenting, investigation and manner of reporting of all breaches of procedure and illegal and unusual activities monitored by the Surveillance Department;
 - (i) the recording of information in the Surveillance Electronic Occurrence Book, and any changes made thereto;
 - (j) back up and data recovery controls in respect of the Surveillance Electronic Occurrence Book;
 - (k) the storage of controlled stationery;
 - (l) monitored key controls and observation duties in respect thereof;
 - (m) slot machine logic area seal controls and observation duties in respect thereof;
 - (n) recording of hopper fills and observation duties in respect thereof;
 - (o) jackpot verification;
 - (p) the manner of observation and monitoring of table game openings and closings;
 - (q) the manner of observation and monitoring of table game fills and credits;
 - (r) card and dice control, including—
 - (i) the collection of cards and dice from the Table Game Department;
 - (ii) inspection of all cards and dice;
 - (iii) damaged and tampered cards and dice;
 - (iv) the monthly audit of cards and dice stock;
 - (v) the disposal of cards and dice; and
 - (vi) the management of re-usable cards;
 - (s) the manner of observation and monitoring of slot machine hard, slot machine bill and table soft clearances and emergency clearances;
 - (t) the manner of observation and monitoring of slot machine hard, slot machine bill and table soft counts and emergency counts;
 - (u) the investigation and review of patron disputes in relation to slot machines and table games;
 - (v) the investigation of variances between metered and actual slot machine hard drop, slot machine bill drop and table game drop and the reporting thereof;

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- (w) the investigation of count variances and the reporting thereof;
 - (x) the investigation of variances between metered EMS hopper float levels and actual hopper contents counted;
 - (y) the investigation of variances between the opening and closing table float;
 - (z) a breakdown of the shift, daily, weekly and monthly duties of the Surveillance Department;
 - (aa) the manner of compilation of a weekly report reflecting all breaches of procedures of the licence holder's ICS within the previous week, specifying the breaches that occurred and their frequency within such week, where applicable;
 - (bb) the performance of monthly audits to ensure the accuracy of all monitored key control registers and access control logs required to be kept in terms of the Act;
 - (cc) the performance of weekly audits to ensure that all relevant surveillance video recordings are accounted for;
 - (dd) the performance of monthly audits to ensure the accuracy and completeness of all issued controlled stationery registers inclusive of the stock levels held in the bulk storage area;
 - (ee) the performance of monthly audits of the playing cards and dice in storage to the relevant playing card and dice registers;
 - (ff) the performance of monthly audits to ensure that access to the EMS and other gaming-related software is given to authorised personnel only, that the access given does not contravene the licence holder's ICS and that the access rights of employees who are no longer employed by the licence holder has been disabled;

- (gg) the performance of monthly audits in respect of all authorised changes to information on the EMS and the gaming-related system database to ensure appropriate authorisation and the correctness thereof;
- (hh) the performance of monthly audits to ensure that the physical access levels given to employees do not contravene the licence holder's ICS and that the access rights of employees who are no longer employed by the licence holder have been cancelled;
- (ii) the performance of monthly audits to ensure the accuracy of slot machine logic area seal registers; and
- (jj) the performance of monthly audits to ensure that the maintenance of roulette wheels and card shufflers is performed in accordance with these Rules.

77. (1) Prior to commencing any gaming activities, a licence holder shall submit to the Board for its approval, a surveillance system plan, which shall conform to the provisions of the Act and the licence holder's ICS and which shall include—

Surveillance system plan and alterations to the surveillance system.

- (a) a gaming floor plan, depicting the placement of all surveillance equipment;
- (b) a detailed inventory of the surveillance system equipment specifications, including specifications in respect of each camera, monitor, recorder, microphone, motion detector, panic alarm, contact alarm and counting device; and
- (c) a table of all the cameras linked to the surveillance system, specifying—
 - (i) the camera number;
 - (ii) the number of the recording device recording the camera view, if the recording device number differs from the camera number;
 - (iii) the number of back-up recorders;

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- (iv) resolution and compression rates of recording, where applicable;
 - (v) event recording set-up, where recording is not continuous;
 - (vi) recording frame rate, where applicable;
 - (vii) audio capabilities;
 - (viii) all equipment that is interfaced with the camera;
 - (ix) a description of each camera view;
 - (x) location of panic alarms; and
 - (xi) location of contact alarms.

(2) The surveillance system plan shall be submitted to the Board for its in-principle approval prior to its installation.

(3) Only after completion of the installation of the surveillance system will the Board finally consider the approval of such system.

(4) A licence holder shall submit any proposed alterations or amendments to the approved surveillance system to the Board in such manner and format as the Board may determine.

(5) A licence holder which proposes to alter or amend its approved surveillance system or any equipment approved in terms thereof, or to alter or move anything that is being monitored or do anything that will affect the approved view of any camera, shall submit such documentation as may be required by the Board in respect thereof, and shall not affect any such alterations or amendments prior to receiving approval in principle from the Board in respect thereof.

(6) Subsequent to the alteration or amendment of the approved surveillance system, the licence holder shall submit to the Board a colour copy of the printout or a photograph of the altered or amended view, as well as such other documentation as may be required by the Board.

(7) The Surveillance Department shall perform tests to ensure that all alarm conditions, interface requirements and legislative requirements are adhered to when altering or amending the approved surveillance system, shall document the results of such tests, in the format determined by the Board, and shall maintain the documents on-site for inspection by the Board.

(8) The Board shall perform an on-site inspection subsequent to an alteration or amendment referred to by this rule, whereafter the Board shall finally consider approval of such alteration or amendment.

(9) The provisions of this rule shall not preclude the performance of any routine maintenance on the surveillance system; provided that the surveillance system or any equipment used therein or in the maintenance thereof shall not deviate from the plan, system or equipment approved by the Board.

(10) A supplier which has been licensed by the Board to install or maintain surveillance equipment, shall, on an annual basis, inspect the surveillance system installed on the premises of the licence holder and issue a certificate stating that the system complies with all applicable legal requirements.

78. (1) In the event of a surveillance system malfunction that affects the monitoring of any activity that is required to be monitored in terms of the Act, the licence holder shall immediately monitor that activity by an alternative means.

Surveillance
system
malfunctions.

(2) The licence holder shall ensure that the alternative means of monitoring such activity shall comply with the provisions of the Act relating to the relevant view which shall include audio capabilities and titlers, where applicable.

(3) If it is impossible for the licence holder to comply with the provisions of paragraphs (1) or (2), the licence holder shall immediately notify the Board of such non-compliance.

(4) Each malfunction shall be repaired within twenty-four hours of the occurrence thereof.

(5) If a malfunction contemplated by this rule is not repaired within twenty-four hours, the licence holder shall immediately inform the Board, setting forth the reason for the delay in repair.

(6) The Board may in its discretion order that all activity in an area affected by a malfunction be suspended pending repair.

(7) Only appropriately qualified persons, licensed by the Board, shall perform any maintenance, repair or alteration on the surveillance system, other than routine

maintenance, repair or alteration referred to in section 47(3)(a) and (b) of the Act.

(8) All surveillance system equipment malfunctions shall be recorded in the surveillance system malfunction register or a similar electronic register as approved by the Board.

(9) The detail of malfunctions arising, other than those referred to in paragraph (8), which have a direct or indirect impact on the surveillance system, shall be recorded in the Surveillance Electronic Occurrence Book.

(10) An employee of the level of at least Surveillance Shift Manager shall, on a daily basis, review the surveillance system malfunction register and sign each entry, attesting to the compliance of the alterations or maintenance with the surveillance plan and system approved by the Board.

(11) The Surveillance Department shall ensure that the surveillance messaging of all devices linked to the surveillance system is functioning properly subsequent to alterations to the surveillance system or to any device interfaced with the surveillance system.

(12) No gaming-related device or other equipment that is interfaced with the surveillance system may be used unless the Surveillance Department has verified that the surveillance messaging of such equipment is functioning in accordance with the requirements of the Rules.

(13) The Surveillance Department shall be informed by the relevant departments prior to occurrence of the following events—

- (a) when the physical appearance of a gaming device changes;
- (b) when changes affecting the approved view are made to the décor within areas that are required to be monitored in terms of the Act; and
- (c) when any area, or the physical location of gaming device or equipment, that is required to be monitored in terms of the Act, changes and upon the occurrence of such events, but prior to the conduct of any gaming activity in such area, shall conduct such tests in respect thereof as may be necessary to ensure that the surveillance system and all the views comply with the provisions of the Act.

79. (1) The head of the Surveillance Department shall report directly to at least the General Manager of the casino. Reporting requirements.

(2) The Surveillance Department shall, on a weekly basis, provide the Board with a report reflecting —

- (a) any contraventions of the licence holders ICS or the Act;
- (b) any discrepancies detected during the audits performed by it;
- (c) a summary of all disputes arising;
- (d) a summary of over and under payments;
- (e) a summary of all unresolved count variances;
- (f) any cheating activities detected;
- (g) all management decisions made;
- (h) a summary of bannings effected in respect of cheating, exclusions under section 74 of the Act and other similar incidents;
- (i) any surveillance system malfunctions;
- (j) the number of visitors to the casino;
- (k) the average amount spent per visitor;
- (l) such other detail as may be required by the Board;
- (m) all resolved variances;
- (n) any variance which cannot be resolved; and
- (o) all investigations initiated by the licence holder during the reporting period.

(3) The Surveillance Department shall indicate the reasons for the occurrence of the contraventions referred to in paragraph (2), where applicable, have occurred and indicate the outcome of the events reported to the Board inclusive of the measures implemented to mitigate the risk of re-occurrence, where applicable.

(4) An employee of the rank of at least Surveillance Shift Manager shall ensure the sound, accurate and systematic record keeping of all aspects of the surveillance operations and functions as referred to in paragraph (2).

(5) The weekly reports shall be submitted by no later than 16h00 on the Tuesday of the following week.

(6) In addition to the provisions of this rule, the Surveillance Department shall submit any other reports to the Board relating to—

- (a) any material weaknesses identified in the gaming-related operations and activities;
- (b) any material weaknesses identified in the licence holder's ICS; and
- (c) instances of possible non-compliance with the provisions of the licence holder's ICS or the Act, within fourteen days of compiling such reports.

(7) The Board may approve different reporting lines to those prescribed in this rule above, upon demonstration by the licence holder that there are no incompatible functions.

(8) All reports shall be in writing and kept for a period of at least two years.

Minimum requirements for the surveillance system.

80. (1) A licence holder shall at all times ensure the proper and effective operation of its surveillance system in order to ensure the continuous, clear and unobstructed monitoring and recording of all areas, persons and activities that are required to be monitored in terms of the licence holder's ICS and the Act; provided that the Board may approve non-continuous recording and reduced frame rates in certain areas, if the licence holder is able to demonstrate that –

- (a) there are adequate controls over such areas;
- (b) all activities in such areas would be adequately recorded;
- (c) no significant incidents, activities or persons would go undetected; and
- (d) sufficient information would be recorded to be able to reconstruct and resolve any incident.

(2) The Board may, on reasonable grounds, require a licence holder to comply with more stringent requirements than those set forth in the Act.

(3) The surveillance system referred to in this rule shall contain the following equipment —

- (a) a control unit having the capability to select any camera to any monitor in the surveillance system and to display the selected view, unless the Board approves otherwise;
- (b) dedicated cameras that monitor and record a specified activity continuously, the placement

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- and number of which shall be subject to approval by the Board;
- (c) a matrix, being a microprocessor-controlled switching device, which shall enable the system to direct any number of inputs to any number of outputs, where applicable;
 - (d) Pan-Tilt-Zoom (“PTZ”) cameras, controlled with the control unit with, at a minimum, the capability to pan (rotate) 360°, to tilt 180°, with the capability to zoom in and out, the placement and number of which shall be subject to the approval of the Board;
 - (e) a titler, which shall superimpose the time, date, a title identifying the view displayed and shall reflect significant event messages onto all video signals without obstructing the recorded views, or as otherwise approved by the Board;
 - (f) signal loss detectors, which shall detect any loss in camera signals and shall generate an alarm when a camera signal loss is experienced;
 - (g) a printer, with the capability to generate, instantaneously upon command, a clear, still, colour copy or photograph of the images depicted on a recording;
 - (h) recorders that can be selected by the control unit and which shall continuously record video and audio signals from the system;
 - (i) storage devices to record all surveillance footage, the quality of which shall allow for clear reviews of all recorded surveillance footage;
 - (j) sufficient back-up recorders to facilitate recordings when storage devices are changed or malfunctions occur, unless otherwise approved by the Board;
 - (k) monitors on which the views recorded by the surveillance system shall be displayed; and
 - (l) a time synchronisation accuracy or loss detector system, as approved by the Board.
- (4) Any satellite monitoring room other than the Office of the Board which receives gaming-related camera signals and which is not exclusively manned and controlled by surveillance employees shall, unless the Board

otherwise approves, have the capability only to review camera signals transmitted from the surveillance room.

(5) The surveillance system and its equipment shall be directly and securely wired and fitted in such a way so as to prevent tampering by employees or patrons.

(6) The surveillance system shall be connected to an auxiliary power source capable of providing uninterrupted power to the surveillance system in the event of a power loss and the power supply shall provide sufficient lighting to operate the surveillance system.

(7) The licence holder shall ensure that the following environmental controls have been adequately addressed to minimise the risk of any disaster occurring that may have an impact on any of its gaming-related systems, including the surveillance system—

- (a) fire suppression;
- (b) emergency power systems which shall include UPS and emergency lighting;
- (c) climate controls; and
- (d) smoke detection.

(8) Each workstation in the surveillance room shall consist of—

- (a) one monitor with audio capabilities which shall be at least 50 centimetres measured diagonally; and
- (b) four monitors of which three shall be at least 30 centimetres measured diagonally, provided that one such monitor shall have the capability to display the Electronic Occurrence Book information.

(9) Only high-resolution monitors shall be used in the surveillance room.

(10) If the view from one camera is simultaneously displayed on monitors located in the Surveillance and Satellite Monitoring Rooms, a message shall be displayed on both or all such monitors that it is a duplicate view.

(11) The surveillance system shall comply with the following camera to monitor ratios—

- (a) one monitor for every 200 slot machines on the gaming floor;
- (b) one monitor for every 15 cameras in the—

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- (i) table game areas;
 - (ii) Cash Desk areas;
 - (iii) count room and storage areas for uncounted drop; and
- (c) one monitor for every 25 cameras in all other areas not prescribed in this rule.

(12) Each camera in the surveillance system located in a public area and PTZ cameras in the count rooms shall be placed behind a smoked glass dome or other device concealing the camera from view, as approved by the Board.

(13) Each camera which forms part of the gaming surveillance system and which monitors gaming-related activities, shall be equipped with its own dedicated recorder or channel.

(14) Cameras of different resolutions shall be used in different conditions and for different purposes in order to provide optimal clarity; provided that high-resolution colour cameras shall be used to cover all table games, count room and other gaming-related transaction areas where monetary value is handled.

(15) All cameras forming part of the surveillance system shall record in colour.

(16) The licence holder shall have the capability of creating first generation copies of surveillance recordings in a format approved by the Board.

(17) All visual and audio recordings shall be made in real time, unless otherwise approved by the Board.

(18) At the entrances leading to areas and offices covered by the surveillance system, signs shall be conspicuously displayed, stating that such areas are under constant audio and video surveillance.

(19) All recordings shall be retained for a period of at least seven days after the recording date, unless a longer period is required in terms of any other provision of the Act or by the Board; provided that all Count Room and Cash Desk transaction area footage shall be retained for a period of at least fourteen days.

(20) A licence holder shall retain all footage of interviews and gaming related disputes for a period of at least ninety days.

(21) No original surveillance system recording shall be removed from the surveillance room, unless required as evidence in legal proceedings, without the written consent of the Board.

(22) Surveillance system checks shall be performed at least once per shift to ensure that the surveillance system is functioning properly.

(23) In the case of video recordings, an employee of the rank of at least surveillance supervisor shall ensure that the correct surveillance tapes are inserted into the video recorders each time that a tape change has been completed.

(24) In the event that surveillance recordings are stored on any device other than video tapes, the licence holder shall ensure that —

- (a) sufficient controls are in place to ensure the authenticity of recordings;
- (b) any changes being made to the surveillance system setup and recordings shall be recorded in such a manner as may be approved by the Board;
- (c) the system has the capability to reconstruct or restore the data to prevent any loss of surveillance recordings, where applicable;
- (d) any amendments to the set up of such system may only be authorised, in writing, by surveillance management personnel and only after the approval of the Board has been obtained, unless such changes are allowed in terms of the approved surveillance system plan; and
- (e) in terms of user access rights relating to the surveillance system and the set up thereof—
 - (i) the Surveillance Department shall maintain an up-to-date user profile per user group which shall be signed by the Surveillance Manager;
 - (ii) access shall be restricted to authorised personnel only and in terms of the user profile referred to in this subparagraph;
 - (iii) access to such system and any amendments to such user access rights shall be authorised in writing and signed by the relevant applicant and the supervisor of

such applicant to which the access relates prior to access rights being assigned or amended;

- (iv) user access documentation shall clearly indicate the user- access-rights applicable to the employee; and
- (v) employees shall not perform any duties on such system if such rights are not allocated to them in terms of the user profile.

81. (1) The Surveillance Department shall perform— Auditing function.

- (a) weekly DVL audits, by at least a Surveillance Shift Manager, to ensure that all recordings archived for evidentiary purposes are accounted for and that the recordings represent a complete and proper account of the incident;
- (b) monthly monitored Key Register audits to verify the accuracy and completeness of the registers in use and to confirm that all transactions were duly authorised;
- (c) monthly controlled stationery audits to verify the accuracy and completeness of these registers and to confirm that all transactions were duly authorised;
- (d) monthly audits for unused value and controlled stationery to verify the accuracy of the stock levels;
- (e) monthly slot machine logic area seal register audits for correct stock levels, to verify the accuracy and completeness of the registers and to confirm that all transactions were duly authorised inclusive of the physical verification of the logic area seals utilised on the relevant slot machines;
- (f) monthly playing card and dice audits to verify the accuracy of stock levels, the accuracy and completeness of registers and that all transactions were appropriately authorised;
- (g) monthly audits on all journal entries on the EMS and gaming- related system database, to ensure the validity and correctness thereof;
- (h) monthly EMS access audits to ensure that EMS access levels were allocated to authorised

personnel and that the relevant documentation is accurate and complete; and

- (i) monthly access control audits, to ensure that the correct access levels were given to employees in terms of the licence holder's ICS, that only authorised employees entered secured areas and that the relevant documentation is accurate and complete.

- (2) The Surveillance Department shall investigate any irregularities found during the audits referred to in this rule and shall document the results of such investigations for inspection by the Board.

- (3) The Surveillance Department shall report any discrepancy found during the audits referred to in this rule to the head of the relevant department to which the discrepancy relates, on a weekly basis.

- (4) A duly authorised employee of the relevant department shall within ten working days of receipt of the report referred to in paragraph (3), in writing, furnish the Surveillance Department with a reason for such a discrepancy, why the controls failed to prevent such discrepancy and any action taken.

- (5) The above mentioned information shall be recorded into the relevant Electronic Occurrence Book record and shall indicate how the matter was concluded. The Surveillance Department shall ensure that all records are accurate and complete.

Surveillance
Rooms.

82. (1) The Surveillance rooms are the areas utilised primarily for the performance of duties limited to Surveillance personnel.

- (2) All surveillance monitoring equipment, other than approved satellite monitoring station equipment (excluding any such equipment located in the office allocated to the Board), that is utilised to record views obtained by the surveillance system shall be located in a room used exclusively for casino surveillance purposes and shall be referred to as the surveillance monitoring room.

- (3) The external entrance to the surveillance monitoring room shall be located away from the view of the general public and shall be restricted to Surveillance personnel only.

- (4) No person other than a person specified in the licence holder's ICS may enter the surveillance monitoring

rooms or view surveillance signals or recordings without the approval of the Board.

(5) The surveillance room equipment shall have total override capability over any other satellite monitoring equipment located in other offices.

(6) The surveillance room shall be staffed and the surveillance equipment monitored at all times by trained surveillance personnel, who shall be employed exclusively for surveillance purposes, and shall possess adequate knowledge of all gaming games played at the casino as well as the Act and the licence holder's ICS.

(7) The recorders and storage devices used for recording in the surveillance rooms and all satellite monitoring rooms with access to live gaming- related PTZ signals shall be secured in such a manner as to ensure that only the Surveillance Manager or Surveillance Shift Manager shall have access to such recorders and/or tapes.

83. (1) The Surveillance Department shall be responsible for the continuous audio and video recording of the following areas with sufficient clarity to identify all transactions, related verbal interactions, all persons and their movements —

- (a) table games;
- (b) Cash Desk windows;
- (c) count rooms, storage areas for uncounted drop and the hard count room administration office;
- (d) the surveillance room and other satellite monitoring stations with live PTZ signals;
- (e) interview rooms where persons may be detained, questioned or interviewed by members of the Gaming Security or Surveillance Departments;
- (f) monitored key (including duplicated keys) storage and transaction areas; and
- (g) all other areas or activities that are required to be monitored and recorded in terms of the Act.

(2) The Surveillance Department shall be responsible for the continuous video recording of the following areas with sufficient clarity to identify all persons and their movements —

- (a) table game betting stations and electronic poker table games;
- (b) slot machines and SBGS terminals;

Surveillance
Department
monitoring
duties.

- (c) general Cash Desk areas;
- (d) Cash Dispensing Machines;
- (e) playing card and dice destruction areas;
- (f) IT file server areas, including HUB's , IT Room entrance and safes where back-up tapes are stored on site;
- (g) the bulk store, including all controlled and value stationery storage and issue areas;
- (h) playing card and dice storage and issue areas;
- (i) logic area seal storage and issue areas;
- (j) the DVL or VTL containing all the surveillance system recording and storage devices; and
- (k) cash redemption terminals.

(3) The Surveillance Department shall employ all reasonable measures required —

- (a) to detect and immediately report to the appropriate supervisors the presence in the establishment of any person who is prohibited from entering the casino; and
- (b) to detect and immediately report to the appropriate supervisors any instances of cheating, theft, embezzlement, and other illegal and unusual gaming-related activities monitored by the Surveillance Department.

Surveillance
system
requirements for
slot machines.

84. (1) Cameras recording slot machines shall be positioned in such a manner that —

- (a) every slot machine is visible from the drop box to the tower light or as otherwise approved by the Board;
- (b) opened machine doors do not obstruct the view of the inside of the slot machine cabinet;
- (c) patron activities at the slot machines may be clearly viewed;
- (d) a dedicated camera to monitor the outcome of each game in respect of physical roulette wheels linked roulette type slot machines;
- (e) all slot machine clearances for the entire route followed by the clearance team on the gaming floor can be followed by means of PTZ cameras and the entire route followed by such team from the gaming floor to the count room can be followed using static cameras; and

- (f) slot machine progressive displays can be clearly viewed or in cases when the camera view cannot accommodate the progressive display, a PTZ shall be utilised for obtaining periodic video visuals of the relevant progressive amounts.

(2) A maximum of eight slot machines installed immediately adjacent to one another shall be covered by one camera. Spaces between machines, layout of slot machines and other relevant factors shall be taken into account when calculating the required number of cameras.

(3) The surveillance system shall be interfaced with the EMS and shall monitor and record the following significant events, conditions and information on all slot machines and reflect on the titler —

- (a) authorised and unauthorised machine door, drop box cabinet door and canister door open and closed;
- (b) logic area door open and close;
- (c) bill validator removed and inserted;
- (d) connection or break in connection to EMS;
- (e) hopper empty;
- (f) coin jam;
- (g) all personnel gaining access to the slot machine; and
- (h) other significant events and conditions determined by the Board.

(4) An electronic monitoring system terminal shall be installed in the surveillance room, reflecting the significant event information referred to in this rule.

85. A licence holder's surveillance system shall monitor and record clear unobstructed views of —

- (a) all table game areas with sufficient clarity to permit identification of all Dealers, patrons and pit personnel;
- (b) dedicated cameras on all gaming table surfaces with sufficient clarity to permit identification of all chips, cash, card and dice values, the table layout, table numbers and the outcome of the game;
- (c) dedicated cameras on all cards, card shoes, card shufflers or similar devices, discard holders or

Surveillance system requirements for table games.

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- similar devices, the drop box slot and boxes used to place bets or cards;
- (d) all roulette tables, to permit a view of the roulette wheel, the result of the game, the chip float, all chips in play, the Dealer and the hand movements, of all patrons and employees over the table;
 - (e) all pit desks, including any drawers, cabinets and safes contained therein;
 - (f) table game betting stations, in such a manner that —
 - (i) the betting station is visible from the drop box to the tower light or as otherwise approved by the Board;
 - (ii) opened doors do not obstruct the view to the inside of the table game betting station cabinet; and
 - (iii) patron activities at the table game betting stations may be clearly viewed;
 - (g) all table game clearances for the entire route followed by the clearance team on the gaming floor by means of PTZ cameras and in the back of house areas from the gaming floor to the count room by means of static cameras; and
 - (h) table game progressive displays must be clearly viewed or in cases when the camera view cannot accommodate the progressive display, a PTZ shall be utilised for obtaining periodic video visuals of the relevant progressive amounts.
- (2) All gaming table activities, except for those taking place on roulette tables, shall be individually monitored and recorded by a dedicated high- resolution camera per gaming table.
- (3) Roulette tables, shall be monitored and recorded by at least two dedicated high-resolution cameras to permit a general view of the table and the table game layout and wheel and to identify patrons.
- (4) In addition to the provisions of this rule, there shall be one PTZ camera for every four gaming tables, which shall be used for general views, patron scans and close-up views.

86. (1) A licence holder's surveillance system shall monitor and record clear unobstructed views of —

Surveillance system requirements for count rooms, storage areas for uncounted drop and Cash Desks.

- (a) all areas, transactions and persons and their movements within the count rooms, administration offices and areas in which uncounted drop is stored, including walls, doors, scales or similar devices, wrapping or similar devices, coin sorters, vaults, safes, equipment, buckets, drop boxes, note counters, stacked currency and general work and counting surfaces;
- (b) count rooms, which shall have the following equipment interfaced with the surveillance system and recorded with sufficient clarity to permit identification of all chips and cash—
 - (i) contact alarms fitted to all exterior doors;
 - (ii) motion detectors to detect any activity inside the room;
 - (iii) PTZ cameras and such further dedicated cameras as are required to ensure the proper monitoring of the activities referred to in this rule; and
 - (iv) panic alarms within easy reach of the Count Supervisor. The administration office shall be fitted with a separate panic alarm. The alarms, contemplated in this sub-paragraph, shall be tested daily prior to the commencement of the count;
- (c) the storage area for uncounted drop, which shall be fitted with contact alarms fitted to the doors; and
- (d) Cash Desks, including patron windows, employee windows, note and coin counting devices, cash dispensing and related devices and fill and credit windows with sufficient clarity to permit identification of all chips, cash and hopper bags. The Cash Desk shall have —
 - (i) panic alarms which shall be interfaced with the surveillance system and recorded; and
 - (ii) a dedicated camera on each patron or employee window to identify chip and token values and currency.

(2) All the counting devices in the hard count room and soft count room and at the Cash Desk windows shall

be interfaced with the surveillance system and shall reflect, in respect of the —

- (a) weigh scales in the hard count room, the weight and number of tokens or coins counted;
- (b) weigh scales in the Cash Desk, the weight of tokens or coins contained in hopper bags;
- (c) coin counters in the hard count room and Cash Desk, the value and denomination of tokens and coins counted;
- (d) note counters in the soft count room, the value of notes counted; and
- (e) note counters at the Cash Desk windows, the total dollar value of the notes counted or the number of notes counted; provided that there is a procedure in place to verify the value of the notes counted under camera coverage.

(3) All counting devices and alarms interfaced with the surveillance system are deemed to be part of the surveillance system.

(4) The Surveillance Department shall ensure that the devices, referred to in this rule, are properly interfaced with the surveillance system.

(5) The count rooms shall be connected to an auxiliary power source capable of providing uninterrupted power in the event of a power loss and the power supply shall provide sufficient lighting.

Investigation of
variances.

87. (1) The Surveillance Department shall —

- (a) investigate all variances, where bill meter readings exceed the actual bills counted per slot machine on a daily basis; and
- (b) investigate any variance in excess of \$200.00 per gaming day or \$1000.00 per week, where the metered coin drop of a slot machine, according to the EMS, exceeds the actual coin drop counted for such slot machine.

(2) The Casino Administration Department shall inform the Slot Machine Department of any unresolved count variances referred to in this rule, including incidents where the notes or tokens counted exceed the EMS meter readings in respect thereof, and a Slot Machine Technician shall perform tests on the relevant slot machine to determine whether it is functioning properly. The

Surveillance Department shall be informed of the result of such tests.

(3) If a variance is greater than \$200.00 between the EMS metered hopper contents value and the actual hopper contents counted, the Surveillance Department shall ensure that the variance is investigated.

(4) If there is any variance between a table opening value and the previous day's table closing value, the Surveillance Department shall ensure that such variance is investigated.

(5) If drop can be determined or estimated for a particular table game, the dollar amount of the drop recorded or estimated by such methods shall be reconciled with the actual drop on a daily basis and the Surveillance Department shall ensure that any unresolved drop variance is investigated in respect of which the estimated table game drop exceeds the actual table game drop counted by 5%.

(6) If there is a variance between the respective counts and buy processes, the Surveillance Department shall ensure that such variance is investigated.

(7) In the event that no evidence can be produced to substantiate the cause of the variances contemplated in this rule, the EMS audit trails shall be scrutinised, reviews performed and such other measures taken by the Surveillance Department as may be necessary to resolve the variances.

(8) The discrepancies found, as contemplated by this rule, shall be reported, in writing, to the head of the relevant department to which the discrepancy relates and on a weekly basis the details of all actions taken to resolve the discrepancy and to mitigate the re-occurrence thereof, shall be documented and forwarded to the Surveillance Department.

(9) The Surveillance Department shall be responsible to verify that the investigations referred to in this rule are performed by the relevant employees.

(10) The results of investigations referred to in this rule and the remedial steps taken, if any, shall be documented and retained for Board inspection.

(11) The Surveillance Department shall, on a weekly basis, inform Casino Administration of the outcome of the investigations referred to in this rule.

Surveillance
Electronic
Occurrence Book
entries.

88. (1) The Surveillance Department shall maintain a Surveillance Electronic Occurrence Book capable of separately reporting on the events referred to in this rule.

(2) The Surveillance Department shall immediately be informed of and record the following events in the Surveillance Electronic Occurrence Book —

- (a) slot machine hopper fills over \$200.00;
- (b) slot machine spillage;
- (c) hand pays and short pays;
- (d) access to slot machine logic areas, including the reasons for RAM clears;
- (e) slot machine tests performed, including set-up, hopper tests and testing money used, where applicable;
- (f) malfunctions in respect of slot machine, electronic poker table game and table betting station prescribed error codes and significant events, as well as malfunctions in respect of any devices interfaced with the surveillance system;
- (g) the removal of a slot machine from the gaming floor;
- (h) table game fills and credits;
- (i) table game opening and closing;
- (j) the marking-up of colour chips above the table minimum;
- (k) table game and slot machine patron disputes, including management decisions made in respect thereof;
- (l) unclaimed credits, jackpots and sleeper bets found;
- (m) unscheduled access to monitored keys, including duplicate keys;
- (n) table game soft clearances and counts, slot machine bill and slot machine hard clearances and counts, including emergency clearances and counts;
- (o) the transfer of value items during the count process;
- (p) information relating to observation duties performed;
- (q) surveillance system checks;

-
- (r) access to the IT file server room by persons not authorised in terms of the operators ICS;
 - (s) the outcome of the six monthly UPS testing;
 - (t) breaches of the provisions of the Act or the operator's ICS;
 - (u) the testing of contact alarms and counting devices and interfaces in the count rooms; and
 - (v) all instances of access to and exit from the count room and storage areas utilised for uncounted drop.

(3) An employee of the rank of at least Surveillance Shift Manager shall ensure the sound, accurate and systematic record keeping of all aspects of the surveillance operations and functions as referred to in paragraph (2).

(4) In the event of a system malfunction and/or power failure that affects the recording of any information that is required to be recorded in terms of the Act, the licence holder shall immediately record such information by another means.

(5) If it is impossible for the licence holder to comply with the provisions of this rule, the licence holder shall immediately notify the Board of such non-compliance.

(6) Each malfunction shall be repaired within twenty-four hours of the occurrence thereof.

(7) If a malfunction contemplated by this rule is not repaired within twenty- four hours, the licence holder shall inform the Board in writing, setting forth the reason for the delay in repair.

(8) In the event of a contravention of the Rules or a provision of the ICS the Surveillance Department shall inform a senior representative of the relevant department of such contravention.

(9) The representative referred to in this rule shall within ten days of receipt of any information referred to in this rule, in writing, indicate –

- (a) the reason for such contravention;
- (b) the primary control that was supposed to have detected such discrepancy and why the controls failed to detect such contravention; and
- (c) all actions taken to mitigate the re-occurrence of a similar contravention.

(10) The information referred to in this rule shall be recorded into the relevant Electronic Occurrence Book and shall indicate how the matter was finalised. The Surveillance Department shall ensure that all records are accurate and complete.

**CHAPTER 10 - INFORMATION TECHNOLOGY
("IT") DEPARTMENT**

ICS. **89.** At a minimum, the licence holder's IT Department ICS shall contain provisions and procedures relating to —

(a) EMS and any other gaming-related system specifications including SBGS, relating to —

- (i) network installation;
- (ii) a cabling diagram;
- (iii) a flow chart of gaming-related system information;
- (iv) types of operating systems;
- (v) application programs;
- (vi) stand-alone computer terminals;
- (vii) communication interfaces;
- (viii) front end processors and floor servers;
- (ix) file servers; and
- (x) database;

(b) the flow of gaming-related system information, including —

- (i) SBGS terminals;
- (ii) slot machines;
- (iii) table games;
- (iv) Cash Desks;
- (v) count rooms; and
- (vi) LAP progressive jackpots;

(c) system access, including —

- (i) user application;
- (ii) pre-defined user groups and user rights;
- (iii) authorisation;
- (iv) registration;
- (v) access rights;
- (vi) verification;

-
- (vii) re-installation;
 - (viii) lock-out of unauthorised users;
 - (ix) deletion of retired users;
 - (x) password control; and
 - (xi) electronic signatures used, where applicable;
- (d) detection of unauthorised user lock-outs and unusual transactions;
 - (e) functional changes to gaming and related systems and data, including —
 - (i) authorisation for such changes;
 - (ii) modifications and alterations;
 - (iii) the completion and filing of documentation;
 - (iv) system maintenance; and
 - (v) the manner of back-up prior to changes;
 - (f) audit trails, including those required in respect of —
 - (i) system upgrades;
 - (ii) functional changes;
 - (iii) user access rights;
 - (iv) user lock-outs;
 - (v) monthly password changes;
 - (vi) changes to gaming-related data; and
 - (vii) changes to progressive jackpots;
 - (g) back-up control, including —
 - (i) the manner in which the back-up is performed;
 - (ii) the back-up documentation required;
 - (iii) the completion and review of registers or recording documentation;
 - (iv) daily, weekly and monthly back-ups, where applicable;
 - (v) storing of back-ups;
 - (vi) data warehousing, where applicable; and
 - (vii) quarterly testing of recovery procedures and the recording thereof;
 - (h) a disaster recovery or business continuity plan, including provision for UPS, generators and system failure;

-
- (i) programming of access control cards, where applicable;
 - (j) physical access to the file server room, computers, terminals, Hub's and patch panels;
 - (k) the use of modems and the controls in respect thereof;
 - (l) access by the Board to gaming-related computerised systems;
 - (m) in respect of each gaming-related department—
 - (i) the hardware, software and data files, including the restriction of access thereto;
 - (ii) information on the computer systems, including the provision of audit trails on such systems; and
 - (iii) computer systems, including application software, through the use of passwords or other approved means;
 - (n) system documentation to be maintained, which shall include descriptions of both hardware and software and operator manuals; and
 - (o) the implementation, modification, upgrading or alteration of any gaming-related computer system or software.

IT Department.

90. (1) The IT Department shall —

- (a) install and maintain computer hardware, communications equipment and software used in the conduct of the casino;
- (b) install and maintain computer tapes, disks, and other electronic storage media containing data relevant to the operation of the casino;
- (c) install and maintain access codes and other data-related security controls used to ensure appropriate limited access to computerised systems and the system-wide reliability of data; and
- (d) perform such other duties and responsibilities pertaining to the IT Department as may be assigned to it by the licence holder's ICS and the Act.

(2) The IT Department shall continuously monitor the EMS, table game information system and gaming-related systems to ensure the proper functioning and integrity of such systems.

(3) All Rules relating to the management and control of the EMS shall, with the necessary changes, apply to SBGS.

(4) The file server rooms shall be connected to an auxiliary power source capable of providing uninterrupted power to all the gaming-related system devices in the event of a power failure.

(5) The IT Administrators or duly authorised personnel shall, on a weekly basis, review any computerised security registers kept by the licence holder for evidence of —

- (a) user lock-outs, provided that the system shall deny user access after three unsuccessful attempts to log-on and only a representative of the IT department or duly authorised personnel shall be able to re-instate such a user's access to the system;
- (b) unauthorised changes to system records and unauthorised access to data files, other than through system menus; and
- (c) any other unusual or irregular transactions, regarding EMS, SBG System, Table Game Information System and Electronic Occurrence Book and shall immediately report such occurrences as are identified in respect of (b) and (c) in writing to the manager of the relevant department and the Surveillance Department.

91. (1) If a licence holder utilises computerised systems to record and control gaming-related transactions, such systems shall —

Control of
electronic
information.

- (a) permanently record all transactions and information entered;
- (b) not allow for the alteration of any records without a full audit trail of such alterations, unless otherwise approved by the Board; and
- (c) be able to generate reports in respect of all information recorded on the source documents, and full details of transactions.

(2) Access to all computer-generated documentation and reports shall be restricted to authorised personnel with no incompatible functions.

(3) Computer-generated reports shall include, without limitation —

-
- (a) system exception information;
 - (b) personnel-access listing, which shall provide for —
 - (i) the names of employees;
 - (ii) employee company ID's, or a suitable alternative; and
 - (iii) a listing of the functions individual employees may perform or a suitable alternative means of identifying such functions.

(4) An audit trail shall be maintained in respect of all changes made to an individual's access to the gaming-related systems and shall, unless otherwise approved by the Board, contain —

- (a) the name of the employee who effected the change;
- (b) the name of the individual in respect of whom the change was made;
- (c) the nature of the change; and
- (d) the date and time that such change was effected.

(5) Where access rights are amended as a result of a system upgrade, such changes shall be documented on the audit trail, or in terms of any other method, as approved by the Board.

User access rights.

92. (1) No person shall have or be allowed unauthorised logical access to —

- (a) computers and terminals located in designated areas;
- (b) gaming-related software, system structure or configuration;
- (c) gaming-related source documents; and
- (d) gaming-related data files, excluding test data.

(2) Whenever a person, who is not authorised in terms of the licence holder's ICS, accesses the file server room, the Surveillance Department shall be informed and such access will be recorded in the Electronic Occurrence Book.

(3) The licence holder shall maintain an up-to-date user profile per user group which shall be signed by the relevant heads of the departments to which the access relates and a representative of Casino Administration.

(4) The EMS shall be capable of producing user access rights reports for all gaming-related systems reflecting —

- (a) the name of the employee;
- (b) the position of the employee; and
- (c) a listing of the functions employees may perform per position or a suitable alternative means of identifying such functions.

(5) Access to all computer-generated documentation and reports shall be restricted to authorised personnel with no incompatible functions.

(6) Access to any gaming-related software and any amendments to such user access rights shall be authorised in writing and signed by the relevant applicant and the supervisor of such applicant to which the access relates prior to access rights being assigned or amended.

(7) A representative of Casino Administration shall verify the user access rights assigned and amended and shall sign the user access documentation unless otherwise prescribed in the approved ICS.

(8) The user access documentation shall clearly indicate the user access rights applicable to the employee.

(9) Where user access rights are amended, such changes shall be logged on the audit trail, unless otherwise approved by the Board.

(10) Employees shall not perform any duties on a gaming or gaming-related system if the applicable rights are not allocated to them in terms of the provisions of this rule.

93. (1) If remote dial-up to any gaming-related system or equipment is allowed in respect of software support, the IT department shall maintain an access register which shall reflect — Modems.

- (a) the name of the employee authorising modem access;
- (b) the name of the person accessing the system or equipment;
- (c) the reason for modem access;
- (d) a description of the work performed;
- (e) an audit trail of all gaming-related software or files accessed, where applicable; and

(f) the date, time, and duration of access.

(2) Supervisory personnel shall authorise, in writing, all allocations of modem access, as prescribed in the operators ICS.

Electronic
storage media.

94. (1) Documents may be scanned or directly stored to electronic storage media; provided that—

- (a) the electronic storage media must contain the exact duplicate of the original document;
- (b) all documents stored on electronic storage media shall be maintained with a detailed index reflecting the department of origin and date of generation of the document and shall be readily available upon request by the Board;
- (c) on request by the Board, hardware shall be provided in order to perform auditing procedures; and
- (d) controls shall exist to ensure the accurate reproduction of the records, up to and including the printing of stored documents used for auditing purposes.

(2) If source documents and summary reports are stored on re-writeable electronic storage media, the electronic storage media may not be relied upon for the performance of any audit procedures, and the original documents and summary reports shall be retained.

Password
protection.

95. (1) All access to the EMS and other gaming-related systems shall be password-controlled and only authorised personnel shall be privy to such passwords.

(2) Employees directly involved with gaming-related transactions shall be precluded from having unrestricted access to the secured computer areas.

(3) Passwords shall be controlled as follows, unless otherwise provided for in these Rules —

- (a) each user shall have a personal password;
- (b) all passwords shall be changed at least every thirty-one days, with such changes being logged; and
- (c) the system shall preclude an individual from using the same password for more than one month in any consecutive three-month period.

(4) The storage of passwords and personal identification numbers shall be in an encrypted form.

(5) A program shall be available which shall list all registered users on the EMS and other gaming-related systems, including their privilege and access levels.

(6) Employees shall not divulge their passwords to any other persons.

(7) Employees shall not allow other persons to perform any functions on the EMS or other gaming-related system on their respective user access profiles.

(8) Employees shall ensure that they log off the EMS or gaming-related system whenever the terminal is unattended.

96. (1) All gaming-related systems shall provide for comprehensive search mechanisms to enable the examination of any event or data captured on such systems.

Board access to gaming-related systems.

(2) The mechanisms shall provide for searches by date, time, event, device, terminal, user or any combination thereof.

(3) The Board shall be able to log onto a computer to execute external audit and interrogation programs.

(4) Any access to the gaming-related systems by the Board shall be limited to read only access to all data; provided that an officer of the Board may copy any report comprising the read-only information.

97. (1) A licence holder shall transfer documentation pertaining to significant events, statistical data or other information required by the Board to the Board at such intervals as the Board may determine.

User interface documentation and reporting.

(2) The permitted methodologies for transfers referred to in this rule shall be determined by the Board and may include the following —

- (a) hard copy report via facsimile;
- (b) storage on diskette;
- (c) dial-up data transfer;
- (d) secure e-mail; and
- (e) data transfer via dedicated link.

(3) The Board may from time to time specify the format of any data required.

98. The IT Department shall —

- (a) on a daily basis, electronically back-up all gaming-related data;

Back-up of gaming-related data.

- (b) ensure that the significant event audit trail is stored off-site for a period of at least six months and financial information for a period of at least five years;
- (c) assign unique reference numbers to all back-up data tapes or media; and
- (d) document or log each time a back-up is performed and taken to the off-site storage facility.

Data restore and
UPS testing.

99. (1) The IT Department and Casino Administration shall, on a quarterly basis, restore backed-up data and compare the data to the daily EMS reports to verify the accuracy thereof

(2) The licence holder shall, on a six monthly basis, test the UPS to verify that there is no loss of power to the following areas—

- (a) IT file server room;
- (b) Surveillance monitoring room and VTL; and
- (c) Count room lighting.

(3) The results of the data restore and UPS tests, including any remedial steps taken, shall be documented and signed by the employees involved in the tests.

(4) The test documentation shall be retained for a period of at least two years calculated from the date of generation thereof, for inspection by the Board.

Environmental
Controls.

100. The licence holder shall ensure that the following environmental controls have been adequately addressed to minimise the risk of any disaster occurring that may have an impact on any of its gaming-related systems, including the surveillance system—

- (a) fire suppression;
- (b) UPS;
- (c) emergency power systems;
- (d) climate controls;
- (e) smoke detection; and
- (f) emergency lighting.

CHAPTER 11 - PROGRESSIVE JACKPOTS

Progressive
jackpot general
requirements.

101. (1) All slot machines, SBGS terminals or gaming tables linked to a LAP- system shall have an equal probability of winning a jackpot.

(2) The current value of a progressive jackpot shall be prominently displayed on or in the immediate vicinity of the gaming devices to which the progressive jackpot relates.

(3) All slot machines and SBGS terminals linked to a progressive jackpot shall contribute at the same incremental percentage to such progressive jackpot.

(4) A progressive jackpot shall have the same base value for all the slot machines and SBGS terminals linked to such progressive jackpot.

(5) The Slot Machine Department shall on a regular basis, perform tests to ensure that all gaming devices linked to a LAP system are functioning properly, as prescribed in the approved ICS.

(6) A licence holder shall, on a daily basis, ensure that the correct progressive jackpot values are displayed, any discrepancies shall be reported to the Slot Machine Department to investigate and test the LAP system to ensure that it functions correctly.

(7) The jackpot controllers shall be located in secure areas as to prevent any unauthorised access thereto.

(8) No supplier may host a SBGS LAP on any license holder premises, without the approval of the Board.

102. (1) A licence holder may limit a progressive jackpot to an amount equal to or greater than the current amount of the jackpot at the time of the imposition of such a limit.

Limiting and transfer of progressive values.

(2) In the event of the imposition of a limit, the licence holder shall prominently display a notice, informing the public about the imposition of such a limit, on or in the immediate vicinity of the gaming devices to which the progressive jackpot relates.

(3) The holder of a gaming licence shall not reduce the amount of a progressive jackpot or otherwise reduce, withdraw or discontinue a progressive jackpot; unless —

- (a) a player wins such jackpot;
- (b) the jackpot is adjusted to correct a malfunction or to prevent the display of an amount greater than a limit imposed in terms of this rule, and the licence holder documents such adjustment and the reasons for it; or
- (c) the jackpot is decommissioned.

(4) If a progressive jackpot is decommissioned, the licence holder shall calculate the incremental value of the progressive jackpot and shall transfer the total amount so calculated to another progressive jackpot on the gaming floor.

CHAPTER 12 – INTERNAL AUDIT RULES

Internal audit
function.

103. (1) The licence holder shall appoint an independent internal auditor to perform the internal audit function prescribed by the Rules.

- (2) The internal audit function shall —
- (a) on a yearly basis, review and evaluate the licence holder’s ICS in order to determine the effectiveness and adequacy thereof;
 - (b) on a six-monthly basis —
 - (i) assess the licence holder’s compliance with its ICS and the Act;
 - (ii) assess the effectiveness and adequacy of the day-to-day gaming-related operations of the Surveillance Department;
 - (iii) assess the effectiveness and adequacy of the day-to-day gaming-related operations of the IT Department;
 - (iv) compile and maintain an operational risk profile in respect of the prescribed mandatory departments;
 - (v) determine whether the gaming and gaming-related financial and operating information is accurate, current, timeously generated, complete, valid and reliable, including the reconciliation of such information with tax returns submitted to the Board;
 - (vi) determine whether gaming-related taxes are current and accurate;
 - (vii) assess the integrity, adequacy, accuracy and reliability of all gaming-related information and systems;
 - (viii) insofar as it is relevant, assess the compliance with any operational conditions of the licence imposed by the Board; and
 - (ix) report any contravention of the licence holder’s ICS or the Act identified during any audit.

(3) When the licence holder utilises an external auditing company to perform the internal audit function, such company may not also perform the external auditing function.

104. (1) The head of the internal audit function shall report directly to the board of directors of the licence holder or a committee of the board of directors. Reporting requirements.

(2) The internal audit function shall, within twenty-eight days from the date of the conclusion of its yearly and six-monthly audits, submit and present its audit reports to the Office of the Board.

(3) The internal audit report shall address —

- (a) all the aspects referred to in rule 103(2); and
- (b) any weakness in the licence holder's ICS or the Act.

(4) In addition to the provisions of this rule the internal audit function shall submit reports to the Board relating to —

- (a) gaming and gaming-related operations and activities; and
- (b) instances of possible non-compliance with the provisions of the licence holder's ICS or the Act within fourteen days of completing such reports.

(5) The Board may approve different reporting lines to those prescribed in this rule, upon demonstration by the licence holder that there are no incompatible functions.

(6) All reports shall be in writing and kept for a period of at least two years calculated from the date of generation thereof.

CHAPTER 13 - GENERAL PROVISIONS

105. English shall be the only language used in any gaming-related transaction. Language to be used.

106. (1) A licence holder shall maintain an asset register of the gaming and gaming-related devices specified in the Regulations. Asset register.

(2) Each item referred to in this rule shall be assigned a unique asset number, which shall be permanently attached to such item while it is in the possession of the licence holder.

(3) Additional gaming and gaming-related devices utilised for training purposes or spares shall be placed in a secured area not in view of the public.

Gaming and gaming-related devices.

107. (1) A licence holder shall maintain all gaming and gaming-related devices in a good working condition in accordance with the approved standards for such devices.

(2) The licence holder shall not use or allow any gambling game to be played on or by means of a gaming or gaming-related device which has not been approved by the Board.

(3) The following gaming and gaming-related devices shall be approved by the Board prior to being utilised in a gambling game —

- (a) slot machine hardware and software;
- (b) SBGS, including terminals;
- (c) the EMS;
- (d) table game information systems;
- (e) gaming-related systems;
- (f) progressive jackpot controllers;
- (g) gaming table layouts;
- (h) electronic poker tables;
- (i) playing cards;
- (j) dice;
- (k) table game betting stations;
- (l) roulette wheels;
- (m) card shufflers; and
- (n) such other gaming and gaming-related devices as the Board may specify from time to time.

Additional gaming devices.

108. (1) A licence holder may, on its licensed premises, possess an additional number of gaming devices, which —

- (a) shall not exceed 20% of the total number of gaming devices authorised to be exposed for play in its licence;
- (b) may not be utilised to conduct a gambling game; and
- (c) shall not be located on the gaming floor.

Unclaimed credits and jackpots.

109. (1) When unclaimed credits or jackpots are found on the gaming floor, the Slot Machine or Gaming Security Departments shall be informed; provided that in

the event of an unclaimed table progressive jackpot being found, the Table Game or Security Departments shall be informed.

(2) Unclaimed tokens or coins cashed out on a slot machine shall be taken to the Cash Desk and verified by the Cashier. In a player card environment, unclaimed credits shall be cashed out to restricted player cards allocated for unclaimed credits, and taken to the Cash Desk.

(3) The phrase “unclaimed jackpot” shall be recorded on a jackpot and credit win slot short, as well as on a table progressive jackpot payout form, where applicable, and the document shall be completed in the prescribed manner. The original copy of the unclaimed slot short and table progressive jackpot payout form shall be handed to the Cashier.

(4) When a patron registers a late claim, the Slot Machine or Table Game Departments shall investigate the legitimacy of the claim and the Surveillance Department shall be informed in the event of a dispute.

(5) A Slot Machine Supervisor or Table Game Supervisor may authorise the payout of a late claim.

(6) When a technical short pay slot short is issued to a patron in a smart card environment, the corresponding credits which are cashed out at a later stage shall be added to the monthly unclaimed credit and jackpot value.

(7) A representative of either the Slot Machine or Table Game Department shall record the relevant detail, pertaining to the unclaimed credits or jackpots, on the documentation as prescribed by this rule.

(8) Access to the unclaimed credit and jackpot information shall be restricted to authorised personnel only.

(9) Unclaimed credits and jackpots shall not be deducted for the purposes of calculating gaming tax prior to being claimed by a patron.

110. (1) A licence holder shall submit all rules and controls in respect of gaming-related promotions and tournaments to the Board prior to conducting such promotion or tournament.

Gaming-related promotions and tournaments.

(2) Tournament games software shall be installed independently of any other game software for tournament purposes and must be separately reported on the EMS.

Disputes.

111. (1) The Surveillance Department shall be informed of all gaming related disputes, and shall —

- (a) record the details of the dispute and the outcome thereof in the Surveillance Electronic Occurrence Book; and
- (b) retain the recording of the incident for a period of ninety days.

Management decision.

112. (1) If a licence holder makes a payout of \$200.00 or greater to a patron pursuant to a management decision, such payout shall be recorded in a manner to ensure that the portion of the payout, not legally owed to the patron, shall not constitute a permissible deduction for the purposes of calculating gaming revenue.

(2) A decision made by management not to retrieve erroneously effected pay-outs of \$200.00 or greater shall constitute a management decision.

(3) The detail of such payout shall be recorded by the management personnel on a Management Decision Payout Sheet, referred to in this rule.

(4) A copy of the completed Management Decision Payout Sheet shall, be forwarded to Casino Administration.

(5) The Surveillance Department shall be informed prior to any payout being made pursuant to a management decision and shall record the details of such transaction in the Surveillance Electronic Occurrence Book.

Office accommodation for the Board.

113. (1) The office accommodation allocated to the Board may only be utilised by the licence holder when it is not in use by the Board and only after approval has been obtained from the Board.

(2) Access to the surveillance system, Electronic Occurrence Book and EMS from the office allocated to the Board shall be restricted to authorised casino personnel and authorised officers of the Board.

Persons under the age of eighteen years.

114. A licence holder shall ensure that no person under the age of eighteen years has access to any designated area, by—

- (a) at every point of physical access to any such area, prominently displaying signage to the effect that no persons under the age of eighteen

years are permitted access beyond such point;
and

- (b) placing full-time security personnel at every point of physical access to any such area continuously to monitor all access thereto, which personnel shall be empowered —
 - (i) to request any person seeking access to any such area to disclose his or her age;
 - (ii) to request an identity document, passport or other satisfactory official documentary proof of the age of any person seeking access to any such area; and
 - (iii) where no proof is produced pursuant to subparagraph (ii), and there are reasonable grounds to suspect that a person seeking access to any such area is under the age of eighteen years, to decline such person admission to such area.

115. (1) A licence holder shall ensure that only appropriately licensed employees perform gaming-related duties.

Employees to be appropriately licensed.

(2) All licensed employees shall be in possession of a card which shall contain the following printed information —

- (a) a photograph of the relevant employee;
- (b) the name of the employee to whom the card relates;
- (c) the name of the licence holder;
- (d) the job title of the employee to whom the card relates; and
- (e) the employee number or the licence number assigned to the relevant employee by the Board.

116. The Board may approve alternative criteria or procedures other than those prescribed in these Rules, if the licence holder is able to prove to the Board that, notwithstanding such criteria or procedures, there are sufficient controls in place to ensure the integrity of the operation.

Dispensation.

PART 2: RULES FOR PARI-MUTUEL WAGERING**CHAPTER 14-DEFINITIONS**

Definitions.

Ch. 388.

117. Any word or expression used in these Rules which is defined in the Gaming Act or the Regulations made in terms thereof shall have the meaning assigned to it therein, unless it is otherwise defined in these Rules or the context indicates otherwise. In this Part, unless the context indicates otherwise —

“account wagering system” means a system of wagering using a telephone, computer or other wagering communication method approved by the Board, the components of which shall be located in The Bahamas, and shall include, but not be limited to, the systems operator, permanent information databases, system monitoring equipment, writers and patron service representatives;

“breakage” means the odd number of cents over a multiple of five or ten cents arising from the computation of pay-outs (“positive breakage”) or the number of cents necessary to raise the payout to the minimum permitted (“negative breakage”);

“dedicated line” means a telephone line which is reserved and used exclusively for the transmission of pari-mutuel wagering data between a casino pari-mutuel facility and a hub and between a hub and a track;

“delay period” means the time between off-time and the actual start of a race;

“gross pool” means the total amount of money wagered on the outcome of a particular event prior to any deductions being effected;

“licence holder” means the holder of a gaming licence which offers pari-mutuel wagering in the casino operated by it;

“manual merge” means the process used in the event of a systems or communications failure by which a hub transmits wagering information to a track by telephone, facsimile machine, cellular telephone or other means of communication, and the process by which the

track includes such wagers in the common pool in such circumstances;

“off-time” means the time when the last horse or dog is loaded into the starting gate in a horse or dog race or when the starting gate car begins to move in a harness race or, if there is no starting gate or starting gate car, approximately fifteen seconds before the anticipated start of the race;

“pari-mutuel cashier” means an employee of the licence holder who sells pari-mutuel tickets, sells vouchers, pays cash for vouchers and effects pay-outs in the pari-mutuel facility of a licence holder;

“patron jurisdiction” means the jurisdiction from which a patron places wagers or transmits wagering instructions to a licence holder, provided that, if such instructions are transmitted via electronic communication, the patron jurisdiction shall be the jurisdiction from which the communication to the licence holder originates;

“pool definition” means a computer generated print-out provided by a track, reflecting the pari-mutuel wagering format and information regarding scratchings for the racing programme in respect of the day on which it is issued;

“scratching” means the removal, prior to off-time, of any horse or dog from previously advertised participation in a race in respect of which pari-mutuel wagering is offered;

“simulcasting” means the simultaneous transmission by pictures of races conducted at race tracks to licence holders and pari-mutuel wagering at casino simulcasting facilities operated by licence holders in respect of such races;

“take-out” means the amount of a pool retained by the operator thereof for administrative and managerial purposes;

“totalisator” means a computer which, directly or indirectly, and independently or through one or more other totalisators, generates or receives pari-mutuel wagering information, calculates pay-outs for winning tickets and generates

reports with respect to such information, and may refer to the linked computers of the casino, the hub and the track;

“voucher” means a ticket issued by a pari-mutuel cashier or a machine in a pari-mutuel facility which can be exchanged for cash or for value when making a wager;

“wagering account” means an electronic ledger maintained by the licence holder or its approved gaming service provider wherein information relative to pari-mutuel wagering is recorded on behalf of a player including, but not limited to —

- (a) deposits;
- (b) withdrawals;
- (c) amounts wagered;
- (d) amounts paid on winnings;
- (e) amounts paid for horse racing-related services or merchandise;
- (f) service or other transaction-related charges authorised by the patron; and
- (g) adjustments to the wagering account; and

“wagering instruction” means any instructions regarding a wager given to a licence holder by a patron who maintains a pari-mutuel wagering account with that licence holder via voice communication.

CHAPTER 15 - PREREQUISITES FOR PARI-MUTUEL WAGERING

Agreements with tracks.

118. (1) An agreement for the conduct of pari-mutuel wagering between a licence holder and a track shall be in writing and shall be submitted to the Board for approval.

(2) No pari-mutuel wagering shall be conducted with a pool pursuant to any agreement other than an agreement referred to in paragraph (1) which has been approved by the Board.

(3) Any agreement referred to in paragraph (1) shall stipulate or make provision for, as the case may be —

- (a) the fees payable;
- (b) the use of a hub;

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- (c) the live transmission of races;
 - (d) the provision of racing information;
 - (e) arrangements for payment between the track, the hub and the licence holder;
 - (f) accounting records and reconciliations;
 - (g) take-outs;
 - (h) breakage;
 - (i) unclaimed tickets;
 - (j) dedicated lines and fall-back arrangements for communication between the hub and the tracks;
 - (k) a manual merge in the event of a system failure; and
 - (l) the allocation of responsibility and measures for compensation in respect of errors, and such further matters as the parties may consider appropriate and are approved by the Board.

119. (1) Pari-mutuel wagering in a casino shall be conducted through a hub which has been approved in writing by the Board. Approval of hub.

(2) Approval by the Board of a hub shall be on the basis of enquiries which include, but shall not be limited to, enquiries as to its ownership, management, security procedures, accounting controls and equipment.

120. All equipment used in connection with pari-mutuel wagering by a licence holder shall be approved in writing by the Board including, but not limited to, pari-mutuel machines at the counter, self-service pari-mutuel machines and credit voucher machines, and the equipment which links the operations of the licence holder to the hub. Equipment.

CHAPTER 16 - OPERATIONAL REQUIREMENTS

121. (1) The transmission of data between the pari-mutuel facility and the hub, and between the hub and individual tracks, shall be effected via dedicated lines. Dedicated transmission and back-up lines.

(2) There shall be a minimum of one back-up line in a pari-mutuel facility and such number of back-up lines as the Board may approve in the hub.

(3) The back-up lines referred to in paragraph (2) may be dial-up lines.

(4) Each approved track shall have a cellular phone in its totalisator room.

Facsimile machines and telephone lines.

122. The pari-mutuel counter in the pari-mutuel facility, the hub facility and the totalisator room at each approved track shall have available a facsimile machine and a direct dial-up telephone line.

Commingling notice.

123. (1) A licence holder shall display prominently in its pari-mutuel facility notice that it is commingling wagers in pools operated by approved tracks.

(2) The notice referred to in paragraph (1) shall further state that the comingling procedures may result in changes in the pools and pari-mutuel odds during the running of a race.

CHAPTER 17 - CONDUCT OF PARI-MUTUEL WAGERING

Wagering restricted to designated areas.

124. Pari-mutuel wagering shall be conducted only through an account wagering system approved by the Board or in an area designated by the licence holder and approved in writing by the Board as suitable in all respects for such purpose with regard to factors including, but not limited to, location, fixtures and fittings, general standard of comfort, security, surveillance and equipment.

No fee chargeable.

125. No fee shall be charged for placing a wager in addition to the amount wagered.

Availability of information.

126. (1) A licence holder shall make available to patrons of its pari-mutuel wagering facility the following information in respect of each participant in each race —

- (a) its name;
- (b) its gender;
- (c) its colour;
- (d) its year of birth;
- (e) its sire;
- (f) its dam and maternal grand-sire;
- (g) the wagering number assigned to it;
- (h) its post position;
- (i) the name of its jockey or driver;
- (j) its assigned weight;
- (k) its morning line odds;
- (l) the colours of its owner(s) and driver;
- (m) the name(s) of its trainer(s);

- (n) the venue, number and distance of the race;
- (o) the amount of the purse; and
- (p) any applicable conditions and claiming price.

(2) For harness races, the performance of each entrant in at least the last six races in which it participated, if applicable, shall also be made available.

(3) The availability of the information referred to in this rule and the procedures for obtaining such information shall be displayed prominently in the casino wagering facility.

(4) A licence holder may charge a patron a fee for providing the information referred to in this rule.

127. A licence holder shall prominently display the approximate odds for each horse or dog in every race. Display of odds.

128. (1) Prior to the start of wagering on a race, the track shall transmit a pool definition to the licence holder. Pool definitions.

(2) Upon receipt of the pool definition, pari-mutuel machines at the pari-mutuel facility may be opened for wagering.

129. A track shall inform the licence holder via the hub as quickly as possible of any scratchings or other pool change information after wagering has started and shall immediately verify such information by facsimile transmission. Scratchings.

130. (1) Except as provided in this regulation, no pari-mutuel ticket shall be cancelled. Cancellation of tickets.

(2) A pari-mutuel ticket with the value of five hundred dollars or less may be cancelled at any time prior to off-time.

(3) A pari-mutuel ticket of any value may be cancelled before the end of the delay period if the patron has not left the pari-mutuel window at which the ticket was purchased or if the patron left the window without paying for or accepting the ticket.

(4) A pari-mutuel ticket of any value may be cancelled before the off-time if the ticket is on a wager where probable pay-outs or odds are not displayed to the public.

(5) A pari-mutuel ticket of any value may be cancelled if the ticket is on an advance race and the race

immediately preceding the race for which the cancellation has been requested has not been declared official.

(6) A pari-mutuel ticket with a value of more than five hundred dollars which is not otherwise cancellable under the provisions of this regulation may be cancelled by a pari-mutuel shift supervisor if, after consultation with the hub, he or she determines that the cancellation will not materially alter the relevant pool.

(7) The factors to be considered before approving or disapproving a cancellation request include the size of the pool, the reason for the requested cancellation, current odds, time until the start of the race, and any late changes such as track conditions or jockey or driver changes.

Refund.

131. A pari-mutuel ticket on a scratching may be refunded.

Pari-mutuel
machines closed.

132. (1) If for any reason pari-mutuel machines are closed during the wagering before off-time, they shall remain closed until after the race.

(2) Wagering shall cease on that race and the payouts for that race should be computed on the sums then wagered in each pool.

(3) In the event that a pari-mutuel ticket issuing machine is inadvertently closed for any reason, it may only be re-opened by a pari-mutuel shift supervisor.

Malfunctions.

133. (1) In the event of an irreparable breakdown of the totalisator or all pari-mutuel and self-service pari-mutuel machines during the wagering on a race, the wagering on that race shall be declared closed, and the payout at that race shall be computed on the sums wagered in each pari-mutuel pool at the time of the breakdown.

(2) In the event of a totalisator malfunction requiring the licence holder to purchase (by refund) any non-issued ticket “lost” in the totalisator, the licence holder shall bear the cost of losing tickets but may enjoy the benefit of winning tickets.

Transmission
failure.

134. (1) In the event of failure to transmit pari-mutuel information to a track, no further wagers shall be accepted in a pari-mutuel facility until the failure has been corrected.

(2) Each hub and track shall attempt to manually merge any wagers which have already been accepted but

which have not been transmitted to the track due to the failure.

(3) Notice of the procedure referred to in paragraph (2) and of any backup procedure shall be posted in a prominent location in the pari-mutuel facility.

(4) If manual merging or recourse to the backup procedure is required, actual notice thereof shall be publicly announced in the casino facility.

135. In the event of an emergency or other unusual circumstances connected with pari-mutuel wagering in a casino which are not covered by these Rules, the pari-mutuel shift supervisor shall if possible consult with the hub (unless the issue is one where it would manifestly be inappropriate to do so) and shall in any event provide a written report to the Board.

Emergency or special circumstances not covered by these Rules.

136. (1) The licence holder shall close off all betting on pari-mutuel machines in the pari-mutuel facility at off-time.

Betting to be closed at off-time.

(2) No ticket may be issued after the totalisator has been locked or wagering has ceased, whichever occurs first.

(3) Wagering shall cease not later than off-time.

CHAPTER 18 - RECONCILIATION

137. A licence holder shall reconcile all simulcast wagers with the operator of each pool in which it participates on at least a weekly basis unless the casino and track agree otherwise and both notify the Board in writing of such alternative arrangement and describe such alternative arrangement in the agreement between the casino and the track.

Reconciliation with pools.

CHAPTER 19 - PAYMENT OF WINNINGS

138. (1) A winning pari-mutuel ticket or credit voucher may only be presented for cashing at a pari-mutuel window or at a self-service pari-mutuel machine in the pari-mutuel facility at such a ticket or voucher was issued.

Claims for payment.

(2) Payment of a winning wager will be made only upon presentation of appropriate pari-mutuel tickets.

(3) No claim shall be considered for tickets which have been discarded, lost, altered, destroyed or mutilated beyond identification.

Overpayment caused by totalisator error.

139. The cost of overpayment caused by totalisator error shall be borne by the operator of the totalisator equipment causing the error, and a provision to this effect shall be included in every agreement between a casino and a track.

Expiration of tickets.

140. (1) A winning pari-mutuel ticket shall be presented for payment within six months of the date of issue after which it ceases to be valid.

(2) Notice of the expiration provision shall be prominently posted in the pari-mutuel facility of the licence holder and printed on each pari-mutuel ticket sold.

CHAPTER 20 - RECORD OF ACCOUNT WAGERS

Electronic record of account wagers.

141. Immediately upon accepting an account wager, the licence holder shall create an electronic record of the terms of the wager in the off-track pari-mutuel race system.

CHAPTER 21 - COMMUNICATIONS TECHNOLOGY

Communications technology and wagering communications.

142. (1) Before installing or permitting the installation of any communications technology on the premises of a licence holder, the licence holder shall notify the Board in writing of the location and number or other identifier of each communications technology device and shall obtain the written approval of the Board for each communications technology device. The Board may condition the approval in any manner the Board considers appropriate.

(2) Before a licence holder accepts any wagering communications, the licence holder must obtain the written approval of the Board to accept such wagering communications and wagering instructions, and thereafter use only the communications technology approved for that purpose.

(3) As a condition to the allowing communications technology upon the premises, the licence holder shall be deemed to have consented to the authority of the Board to require the immediate removal of any communications technology from the licensed premises at any time without prior notice of hearing. After any such removal, the licence holder may request a hearing before the Board as to whether or not circumstances may warrant the permanent revocation of the authorisation to have communications technology upon the premises.

(4) Nothing herein prohibits the use of the internet for the purposes of establishing wagering accounts or transacting wagering account deposits and withdrawals.

CHAPTER 22 - RULES FOR ESTABLISHMENT AND MANAGEMENT OF ACCOUNTS

143. (1) Each licence holder shall prepare a written description of its house rules and procedures for wagering communications, and shall furnish a copy to each patron for whom a wagering account is established. Prior to adopting or amending such house rules, a licence holder shall submit such rules to the Board for approval.

Requirements for the establishment and management of accounts.

(2) A licence holder shall issue each patron with a secure personal identification mechanism reasonably designed to prevent the acceptance of wagers from persons other than the patrons for whom wagering accounts are established. More than one patron may be assigned to a single wagering account; however, each patron assigned to a wagering account must comply with the provisions of paragraphs (3), (4) or (5), as applicable.

(3) A licence holder may establish wagering accounts for persons who are permitted to engage in gaming and are residents of The Bahamas or are residents of any other jurisdiction in which pari-mutuel horse race wagering is legal provided that the patron jurisdiction does not otherwise restrict wagering on wagering accounts located outside its borders. Such wagering accounts may be established remotely by patrons located outside of The Bahamas or in person; provided that, before a licence holder establishes a wagering account —

- (a) the licence holder must verify the identity of the patron in accordance with the provisions of the Financial Transactions Reporting Act;
- (b) notwithstanding paragraph (a), the patron must provide, and the licence holder must record and maintain on the account wagering system —
 - (i) the patron's full and correct name, permanent home address (other than a post office box number), home telephone number, and facsimile number, if any;
 - (ii) the patron's mailing address and, if the mailing address is not a post office box number and is a residence or place of

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- business of the patron, the telephone number of the resident or place of business;
- (iii) the patron's place and date of birth, nationality, gender and a description and the number of the identity credential provided by the patron;
 - (iv) the patron's occupation and identifying details of the patron's employer;
 - (v) the patron's specimen signature;
 - (vi) the patron's initial wagering account deposit;
 - (vii) the source of funds in the wagering account;
 - (viii) the patron's approved credit limit;
 - (ix) the patron's account number with the licence holder; and
 - (x) the date of establishment of the wagering account;
- (c) The patron must confirm, either in person or electronically—
- (i) the accuracy of the information recorded;
 - (ii) receipt of the licence holder's rules and procedures for wagering communications;
 - (iii) that he or she has been informed and understands that wagering accounts may be used only by the holder of such an account located in the designated area of the licensed premises or by citizens of permitted foreign jurisdictions, and that the licence holder is prohibited by law from accepting wagering communications not complying with these requirements; and
 - (iv) that he or she consents to the monitoring by the Board and the licence holder of any wagering communications; and
 - (v) that all credits in his or her wagering account will be beneficially owned exclusively by the patron.
- (d) Upon completion of the application process, the account wagering system must record and maintain the—
- (i) date of establishment of the patron's wagering account with the licence holder;

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- (ii) account wagering number assigned to the patron by the licence holder; and
 - (iii) approved credit limit or the amount of the patron's initial wagering account deposit.
- (e) Without prejudice to the provisions of paragraph (3)(a), the licence holder may, with the approval of the Board, utilise the services of an independent third party to perform identity, residence, and age verification services with regard to the patron(s) establishing the wagering account.
- (f) The licence holder shall confirm that the patron is located on the premises of the licence holder or in a patron jurisdiction outside of The Bahamas which is a permitted foreign jurisdiction, prior to accepting wagers on such wagering accounts and shall maintain a record of such confirmation.
- (4) A licence holder licensed to accept off-track pari-mutuel horse race wagers in The Bahamas may establish wagering accounts for a licence holder licensed in any other jurisdiction in which either pari-mutuel or non-pari-mutuel race wagering is legal to enable such foreign licence holder to place wagers or take-back bets, provided that, before a licence holder accepts a wagering communication on such an account —
- (a) the licence holder shall comply with the provisions of paragraph (3)(a) with regard to the foreign licence holder;
 - (b) the foreign licence holder must either electronically transmit valid documentation reasonably verifying that it is licensed in the jurisdiction in which it operates;
 - (c) the foreign licence holder must attest that it is not accepting wagers from citizens of the Bahamas or any other person who is prohibited by the Act from engaging in authorised gaming, or any other jurisdiction in which such wagering is illegal or offering such wagering is illegal;
 - (d) the foreign licence holder must make and at all times maintain a deposit of \$50,000.00 BSD on account with the licence holder; and
 - (e) sufficient funds must be on deposit in the foreign licence holder's account with the licence

holder to fund any wagers placed with The Bahamas licensed pari-mutuel licence holder.

(5) In respect of wagering accounts opened pursuant to paragraph (4), the licence holder shall accept pari-mutuel horse race wagers on the patron's wagering account provided that the patron places account wagers with a licence holder with which the wagering account was established.

(6) For each wagering account established for the purpose of accepting wagering communications, the licence holder shall record the secure personal identification assigned to the patron, and the date/time and amount of each—

- (a) deposit;
- (b) withdrawal;
- (c) wager placed and accepted including the wagering transaction number;
- (d) pay-out on winning wager;
- (e) charge for horse racing-related services or merchandise;
- (f) service or other transaction-related charge authorised by the patron; and
- (g) adjustment to the wagering account.

(7) In addition to the posting of the wager in the off-track pari-mutuel race system, all wagering communications shall be electronically recorded and retained for a period of sixty days. The method of recording the wager must be approved by the Board. Such recordings must immediately be made available to any Inspector upon request.

(8) All wagering account applications or amendments thereto for active wagering accounts must be retained by the licence holder.

(9) All wagering account applications or amendments thereto —

- (a) for rejected applications, shall be retained by the licence holder for no less than one year following the rejection of the related application;
- (b) for closed wagering accounts, shall be retained by the licence holder for no less than one year following the closure of the related wagering account.

CHAPTER 23 - ACCOUNT WAGERING SYSTEMS**144.** Account wagering systems shall—

- (a) for systems that use other than voice-only wagering communications technology, provide for the patron's review and confirmation of all wagering information before the wagering communication is accepted by the licence holder and the system shall create a record of the confirmation, and such record of the confirmation of the wager shall be deemed to be the actual transaction of record, regardless of what wager was recorded by the system;
- (b) prohibit wagers from being changed after the patron has reviewed and confirmed the wagering information, and the specific wagering communication transaction has been completed;
- (c) prohibit the acceptance of wagers after off-time;
- (d) prohibit a licence holder from accepting an account wager, or a series of account wagers, in an amount in excess of the available balance of the wagering account;
- (e) prohibit a licence holder from accepting non-pari-mutuel horse race wagers through the account wagering system used for pari-mutuel horse race wagers;
- (f) post payment on winning account wagers as a credit to the patron's wagering account as soon as reasonably practicable after the event is declared official;
- (g) maintain a completely separate wagering account for pari-mutuel horse race wagers. Wagering accounts for pari-mutuel sports or event wagering wagers, non-pari-mutuel horse race wagers and non-pari-mutuel sports or event wagering wagers may be commingled in a single separate wagering account;
- (h) maintain complete records of every deposit, withdrawal, wager, winning pay-out, and any other debit or credit for each wagering account; and
- (i) for systems that use other than voice only wagering communications technology, produce a printable record of the entire transaction as required by this section and shall not accept any

Requirements for account wagering systems.

wagering communication or transaction if the printable record system is inoperable.

House rules.

145. Each licence holder that offers account wagering shall adopt, conspicuously display at its licensed premises, make available through the account wagering system, and adhere to written, comprehensive house rules governing account wagering transactions with patrons and prior to adopting or amending such house rules, a licence holder shall submit such rules to the Board for approval and without limiting the generality of the foregoing, the rules must include statements to the effect that—

- (a) all applicable house rules apply to wagering accounts;
- (b) the licence holder shall provide each patron, upon reasonable request and consistent with its internal control policies, with a statement of account showing each wagering account deposit, each wagering account withdrawal, each credit to a wagering account, and each debit to the wagering account made during the time period reported by the wagering account statement;
- (c) for all wagering communications the licence holder is required to make a voice, print, electronic or other approved record of the entire transaction and shall not accept any such wager or transaction if the recording system is inoperable, such record of the patron's confirmation of all wagering information shall be deemed to be the transaction of record, regardless of what was recorded by the off-track pari-mutuel race system and such records shall be made available to the Board upon request;
- (d) the licence holder has the right to—
 - (i) refuse the establishment or maintenance of wagering accounts for what it deems good and sufficient reason;
 - (ii) refuse deposits to wagering accounts for what it deems good and sufficient reason;
 - (iii) refuse to accept all or part of any wager for what it deems good and sufficient reason;
 - (iv) declare the account wagering system closed for receiving any or all wagers;
 - (v) suspend or close any wagering account at any time; provided, however, when a

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- wagering account is closed, the licence holder shall, within five business days, return the balance of the wagering account at the time of said action, subject to compliance with these Regulations, the licence holder's house rules, and the Act by sending a cheque to the patron's address of record; or
- (vi) close any wagering account when the patron thereof attempts to operate with an insufficient balance or when the wagering account is dormant for a period established by the licence holder and in either case, the licence holder shall refund the balance of the wagering account, subject to compliance with these Rules, the licence holder's house rules, and the Act;
- (e) the licence holder shall keep confidential, except from the patron, the Board, where required or permitted by a Court of competent jurisdiction in The Bahamas or as otherwise required or permitted by the laws of The Bahamas—
 - (i) the amount of money credited to, debited from, or present in any particular patron's wagering account;
 - (ii) the amount of money wagered by a particular patron on any event;
 - (iii) the wagering account number and secure personal identification method that identifies the patron;
 - (iv) the identities of particular entries on which a patron is wagering or has wagered; and
 - (v) unless otherwise authorised by a patron, the name, address, and other information in the possession of the licence holder that would identify the patron to anyone other than the Board or the licence holder;
 - (f) licence holders shall disclose their policy regarding the acceptance of personal cheques, cashier's cheques, wire transfers, money orders, debit cards, credit or charge cards and electronic transfers of money to the patron;
 - (g) licence holders shall disclose their policy regarding the patron's use of the wagering

account while the patron is on the premises of the licence holder; and

- (h) licence holders shall disclose their policy that pari-mutuel race wagers are accepted from patrons who are permitted to engage in authorised gaming only when located within The Bahamas or another jurisdiction in which pari-mutuel horse race wagering is legal, and that such other jurisdiction does not otherwise restrict wagering on wagering accounts located outside its borders.

CHAPTER 24 - ACCOUNT TRANSACTIONS

Account transactions.

146. (1) Wagering account deposits may be made by any of the following means —

- (a) cash deposits made directly;
- (b) personal cheques, cashier's cheques, traveller's cheques, wire transfers, and money order deposits made directly or mailed;
- (c) credit instruments issued in compliance with the Act;
- (d) transfers from safekeeping or front money accounts otherwise held by the licence holder excluding other race or sports wagering accounts;
- (e) debits from a patron's debit card or credit or charge card, upon direct instructions of the patron; provided the use of such card has been pre-approved by the licence holder and designated by the patron;
- (f) debits by electronic transfers of money from a monetary account controlled by a patron; such patron may be liable for any charges imposed by the transmitting and receiving entity and the charges may be deducted from the patron's wagering account; and
- (g) any other means approved by the Board.

(2) Wagering account credits may be made by any of the following means —

- (a) deposits; and
- (b) amounts won by a patron.

(3) Wagering account debits may be made by any of the following means—

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- (a) amounts wagered by a patron;
 - (b) service or other transaction-related charges authorised by the patron;
 - (c) purchases of horse racing-related merchandise and services requested by a patron; and
 - (d) withdrawals.

(4) Wagering account withdrawals shall be completed within ten business days after the licence holder receives a request from a patron by mail, telephone, or a communications technology accompanied by the valid wagering account number and the patron's secure personal identification and, if by mail, a signed completed withdrawal slip; if sufficient funds are available, the licence holder shall refund to the patron the amount of the requested withdrawal to the address of record and an electronic transfer of money may be used in lieu of a check at the discretion of the patron and patrons may make withdrawals in person with such identification as required by the licence holder, the valid wagering account number and the patron's secure personal identification.

(5) Nothing in this Part shall prohibit a licence holder from —

- (a) accepting from a patron less than the full face value of an off-track pari-mutuel wager;
- (b) agreeing to refund or rebate to a patron any portion or percentage of the full face value of an off-track pari-mutuel wager; or
- (c) increasing the pay-out of, or paying a bonus on, a winning off-track pari-mutuel wager.

CHAPTER 25 - REVENUE AND TAXES

147. (1) Any sums wagered in a pari-mutuel facility on horse, harness or dog racing shall be combined with the pool of an approved track and the types of wagering, takeout, distribution of winnings and rules of racing shall be determined in accordance with the law or policy applicable to that track.

Operation of pools.

(2) A licence holder may join a common pool with tracks or entities in states or countries other than the state and country of the track at which the race or pool is located.

(3) The licence holder shall bear the loss of any negative breakage and may retain any positive breakage.

(4) The licence holder shall pay winning wagers in accordance with the official results at the track operating the pool whether or not the related wagering information from the casino was included in the pool.

Breakages included in adjusted gross revenue.

148. Receipts in respect of positive breakage (less negative breakage), from outstanding pari-mutuel tickets which are cancelled, or from “lost” tickets shall constitute part of the adjusted gross revenue of the casino operator for the purposes of taxation.

PART 3: RULES FOR BETTING

CHAPTER 26-DEFINITIONS

Definitions.

149. Any word or expression used in these Rules which is defined in the Gaming Act or the Regulations made in terms thereof shall have the meaning assigned to it therein, unless it is otherwise defined in these Rules or the context indicates otherwise. In this Part, unless the context indicates otherwise—

“account wagering system” means a wagering system by means of which an event betting transaction may be conducted—

- (a) making use of a wagering account established and maintained in respect of a patron by a licence holder; and
- (b) by means of a telephone, computer or other communication device approved by the Board;

“approved wagering system” means any wagering system which complies with the requirements of such standards or requirements as may be fixed or approved by the Board in respect thereof;

“betting in-running” refers to betting transactions which are concluded after the official start but before the official end of an event, in such a manner that quotes or prices on selected events or contestants are periodically updated during the course of the event on which the bets are struck;

“betting ticket” means a written or electronic ticket issued by a licence holder to a patron evidencing an event betting transaction

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- concluded between the licence holder and the patron;
- “computer”, unless otherwise indicated by the context, means a wagering system described in rule 168;
- “event betting transaction” or “bet” means the placement by a patron and the acceptance by a licence holder of a bet on any lawful event, other than a race in respect of which pari-mutuel wagering is offered by the licence holder;
- “licence holder” means the holder of a gaming licence which offers event betting in the casino operated by it;
- “multiple bet” means a bet containing more than one selection on subjects participating in different events, combined to form one bet, and includes a parlay wager;
- “parlay card” means a pre-printed form provided to patrons by the licence holder for the purposes of making a parlay wager;
- “parlay wager” means a wager on the outcome of a series of two or more games, matches or other lawful events;
- “starting price” means the odds set in respect of a participant in an event at the time of the commencement of that event;
- “single bet” or “single event bet” is a selection of a single contestant for a bet in any event;
- “significant event” means any one of a set of pre-defined operational conditions which —
- (a) are deemed to be significant by the Board; and
 - (b) must be recorded by a wagering system;
- “stake” means the monetary outlay, made by a patron in placing a bet, whether in the form of cash, a chip or any other value instrument as defined in rule 2 of these Rules;
- “surrogate player” means an employee of the holder of a proxy gaming licence who places wagers

on behalf of the holder of a proxy gaming account;

“take-back bet” means any bet taken by a licence holder with any other licence holder carrying on a licensed business of the same nature within or outside The Bahamas, where such bet is solely for the *bona fide* purpose of covering the whole or any portion of the licence holder’s commitment in respect of any bet or bets laid or to be laid by it; provided that any such bet or bets are taken on the outcome of the same contingency, and for the purposes of this definition “licence holder’s commitment” means the amount which such licence holder will have to pay out or which it reasonably anticipates to pay out in respect of such bet or bets, without regard to the stakes held by it in respect of such bet or bets;

“wager” means the placement of a stake on an event betting transaction;

“wagering account” means an electronic ledger maintained by the Licence holder or gaming service provider wherein information relative to sporting and event wagering is recorded on behalf of a player including, but not limited to —

- (a) deposits;
- (b) withdrawals;
- (c) amounts wagered;
- (d) amounts paid on winnings; and
- (e) adjustments to the account;

“wagering communication” means the transmission of a wager, or of information which will assist a surrogate player to place a wager, between a point of origin and a point of reception, by means of communications technology; and

“wagering system” means any system, employing technology of any kind, used by a licence holder for the purposes of conducting any event betting referred to in this Part, which, at a minimum, has the capability —

- (a) to record all event betting transactions conducted thereon;

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- (b) to restrict access to and the use of such system only to licensed employees who have been authorised thereto by the licence holder and strictly in accordance with the limits placed on such authorisation;
 - (c) to generate and maintain accurate accounting records in respect of all event betting transactions recorded thereon for the purposes of—
 - (i) the calculation of liability for gaming tax;
 - (ii) the maintenance of such statistical information and the generation of such reports as the licence holder or the Board may require; and
 - (iii) auditing or other system interrogation by the Board; and
 - (d) to identify and take appropriate action in respect of significant events.

CHAPTER 27 - FORMAL OPERATIONAL REQUIREMENTS

150. (1) All wagers to which this Part applies shall be transacted by the writer or cashier through a computer system or by use of an account wagering system and, in the case of a failure of the computer system the licence holder shall cease operation until the computer system is restored.

Transactional and testing requirements.

(2) The time generated by the computer during preparation of a betting ticket shall be tested each day by a supervisor from internal audit.

(3) The test and any adjustments necessary due to discrepancies shall be documented in a log and shall include the station number, date, time of test, time per computer, name and licence number of employee performing the test, and any other relevant information.

(4) All date and time stamping machines used by the licence holder for parlay cards, voiding cards, tickets and pay-outs shall be wired directly and permanently to the electrical supply system or in such other manner as may be approved by the Board.

(5) Only maintenance or engineering personnel, accompanied by Security Department employees, shall

have access to devices used in connection with the computers.

(6) Stamping machines shall be tested by Security Department employees at least once during each eight hours of operation to ensure accurate date and time to the nearest minute.

(7) A similar test to that described in paragraph (6) shall be performed each week by a supervisor from internal audit.

(8) The tests described in paragraphs (6) and (7) shall be documented in a log in the manner described in paragraph (3).

(9) All keys for the stamping devices and for the room storing the computer system room shall be kept by the Security Department and shall only be used in the presence of a Security Department employee.

(10) A key log shall be maintained by the Security Department reflecting —

- (a) a list of individuals authorised to obtain keys;
- (b) the date and time a key is issued;
- (c) the signature and certificate number of the individual obtaining a key;
- (d) the type of key obtained;
- (e) the reason for obtaining the key;
- (f) the date and time keys are returned; and
- (g) the signature and permit number of the security officer receiving the key.

Access to
computer system.

151. Access to the computer system and to the operations features of the account wagering system shall be restricted to such persons as may be specified in the approved internal control standards of the licence holder.

Licensed
personnel.

152. For the purposes of these Rules, the licence holder shall employ —

- (a) one or more Managers, who shall be licensed as key employees, and whose duties shall include —
 - (i) the safeguarding of assets;
 - (ii) the monitoring of all licensed activities for adherence to the internal control standards of the licence holder;
 - (iii) setting and adjusting of betting odds;

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- (iv) overseeing the establishment of wagering accounts;
 - (v) the making of recommendations for hiring and terminating licence holder employees;
 - (vi) the scheduling of licensed personnel;
 - (vii) authority over and supervision of the licensed operations;
 - (viii) the verification and entering of results into the computer; and
 - (ix) approval of all pay-outs on winning tickets issued by computer in excess of five thousand dollars;
- (b) one or more Shift Managers, who shall be licensed as key employees, and whose duties shall include —
- (i) the safeguarding of assets;
 - (ii) the conduct of licensed operations on an assigned shift;
 - (iii) the supervision of employees on an assigned shift;
 - (iv) assisting patrons to establish wagering accounts;
 - (v) the verification and inputting of event results into the computer; and
 - (vi) approval of all pay-outs in excess of five thousand dollars; and
- (c) writers or cashiers, who shall be licensed as gaming employees, and whose duties shall include —
- (i) the inputting of wagers into the computer terminal for the issuance of tickets;
 - (ii) informing supervisors of large wagers;
 - (iii) referring patrons to the Shift Manager or Manager for the establishment of wagering accounts;
 - (iv) the paying of winning tickets; and
 - (v) the operation of the writer or cashier computer terminals.

153. (1) Whenever a betting station is opened for wagering or turned over to a new writer or cashier, the writer or cashier shall enter into the electronic records of the computer the writer or cashier's identity, the date and

Opening and closing of betting stations.

time, and the fact that the station was opened and the same information shall be written on either the unused ticket that is first in sequence or in a separate report.

(2) Whenever the betting station is closed or the writer or cashier is replaced, the writer or cashier shall enter into the electronic records of the computer the writer or cashier's identity card, the date and time, and when the station was closed and the same information shall be written on either the unused ticket that is next in sequence after the last ticket written or in a separate report.

Patron
qualification
requirements.

154. A licence holder may not accept a wager on any event unless such wager is initiated by —

- (a) patron who is physically present on the licensed premises;
- (b) the holder of a mobile gaming account located within a permitted area; or
- (c) the holder of a proxy gaming account.

Rules for
wagering.

155. (1) Each licence holder shall prepare a written description of its rules and procedures for wagering communications, and shall furnish, or make available, a copy to each patron for whom a wagering account is established at the time when the wagering account is established and any time thereafter upon request by the patron.

(2) A licence holder shall cause to be conspicuously posted within its licensed premises —

- (a) a copy of the rules referred to in paragraph (1); and
- (b) a statement of minimum and maximum wagers available, where applicable.

CHAPTER 28 - ACCOUNT ESTABLISHMENT REQUIREMENTS

Patron
identification
controls.

156. (1) A licence holder shall issue each patron or licensed employee with a secure personal identification reasonably designed to prevent the acceptance of wagers from persons other than the relevant patron or licensed employee.

(2) More than one patron or licensed employee may be assigned to a single wagering account; however, each patron or licensed employee of a licence holder assigned to an account must comply with the provisions of rule 157(1)(b) and (c).

157. (1) Before a licence holder accepts a wagering communication in respect of any event—

Establishment of
wagering
accounts.

- (a) the patron, if a natural person, must establish a wagering account with the licence holder;
- (b) the licence holder must verify the identity of the patron, whether an individual or a corporate entity, in accordance with the provisions of the Financial Transactions Reporting Act;
- (c) without prejudice to the provisions of subparagraph (b), the licence holder shall record—
 - (i) the patron’s full and correct name, permanent home address (other than a post office box number), home telephone number, and facsimile number, if any;
 - (ii) the patron’s mailing address and, if the mailing address is not a post office box number and is a residence or place of business of the patron, the telephone number of the resident or place of business;
 - (iii) the patron’s place and date of birth, nationality, gender and a description and the number of the identity credential provided by the patron;
 - (iv) the patron’s occupation and identifying details of the patron’s employer;
 - (v) the patron’s specimen signature;
 - (vi) the patron’s initial wagering account deposit;
 - (vii) the source of funds in the wagering account;
 - (viii) the patron’s approved credit limit;
 - (ix) the account number assigned to the patron by the licence holder; and
 - (x) the date of establishment of the wagering account;
- (d) The patron must confirm, either in person or electronically —
 - (i) the accuracy of the information recorded;
 - (ii) receipt of the licence holder’s rules and procedures for wagering communications;

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- (iii) that he or she has been informed and understands that wagering accounts may be used only by —
 - (aa) a patron who is physically present on the licensed premises;
 - (ab) the holder of a mobile gaming account located within a permitted area; or
 - (ac) the holder of a proxy gaming account, and that the licence holder is prohibited by law from accepting wagering communications not complying with these requirements; and
 - (iv) that all credits in his or her wagering account will be beneficially owned exclusively by the patron.

(2) Notwithstanding the provisions of paragraph (1)(b), a licence holder may, with the approval of the Board, utilise the services of an independent third party to perform identity, residence, and age verification services in relation to any patron establishing a wagering account.

Foreign wagering
accounts.

158. (1) A licence holder may establish wagering accounts with an entity licensed in any other jurisdiction where event betting is legal for the acceptance of bets or the placement of take-back bets.

(2) Before a licence holder accepts a wagering communication in respect of an account referred to in paragraph (1) (“the foreign book”) —

- (a) the foreign book must electronically transmit a document reasonably verifying that it is the holder of a current, valid licence authorising the transactions to be entered into with the licence holder in the jurisdiction in which it operates;
- (b) the foreign book must attest that it is not accepting wagers from citizens of The Bahamas or any other person prohibited by the Act from engaging in gaming, or from persons other than citizens of permitted foreign jurisdictions;
- (c) the foreign book must make and at all times maintain a deposit of fifty thousand dollars on account with the licence holder; and

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- (d) sufficient funds must be on deposit in the foreign book's account with the licence holder to fund any wagers placed with the licence holder.
 - (3) The licence holder has the right to—
 - (a) refuse the establishment or maintenance of accounts for what it deems good and sufficient reason;
 - (b) refuse deposits to accounts for what it deems good and sufficient reason;
 - (c) refuse to accept all or part of any wager for what it deems good and sufficient reason;
 - (d) declare the account wagering system closed for receiving any or all wagers;
 - (e) suspend or close any wagering account at any time; provided, however, when a wagering account is closed, the licence holder shall, within five business days, return the balance of the wagering account at the time of said action, subject to compliance with these Regulations, the licence holder's house rules, and any applicable laws and regulations, by sending a check to the patron's address of record; or
 - (f) close any wagering account when the patron thereof attempts to operate with an insufficient balance or when the account is dormant for a period established by the licence holder. In either case, the licence holder shall refund the balance of the wagering account, subject to compliance with these Regulations, the licence holder's house rules, and any other law in The Bahamas.
 - (4) The licence holder shall keep confidential, except from the patron, the Board, where required or permitted by a Court of competent jurisdiction in The Bahamas or as otherwise required or permitted by the laws of The Bahamas —
 - (a) the amount of money credited to, debited from or present in any particular patron's wagering account;
 - (b) the amount of money wagered by a particular patron on any event;
 - (c) the account number and secure personal identification method that identifies the patron;

- (d) the identities of particular entries on which a patron is wagering or has wagered; and
- (e) unless otherwise authorised by a player, the name, address, and other information in the possession of the licence holder that would identify the patron to anyone other than the Board or the licence holder.

(5) A licence holder shall disclose its policy regarding the acceptance of personal cheques, cashier's cheques, traveler's cheques, wire transfers, money orders, debit cards, credit or charge cards and electronic transfers of money to the patron.

(6) A licence holder shall disclose its policy regarding the patron's use of the wagering account while the patron is on the premises of the licence holder.

Corporate
wagering
accounts.

159. (1) A licence holder may establish a corporate wagering account for an entity incorporated or registered in The Bahamas which is not directly or indirectly, wholly or partially, beneficially owned by any person who is prohibited by the Act from engaging in gaming.

(2) Before a licence holder accepts a wagering communication in respect of an account referred to in paragraph (1), and subject to rule 157(l)(b) —

- (a) the licence holder must obtain a certified copy of the corporate wagering entity's certificate of incorporation or other formation documents and a current certificate of good standing;
- (b) the corporate wagering entity must attest that it has the required authority to place such wagers and that it will hold the licence holder, the Board, the responsible Minister, and the Government of The Bahamas harmless for all of the entity's wagering activities and from any harm that may flow from such activities;
- (c) the corporate wagering entity must make and at all times maintain a deposit of Five Thousand Dollars on account with the licence holder; and
- (d) sufficient funds must be on deposit in the corporate wagering entity's wagering account with the licence holder to fund any wagers placed with the licence holder.

CHAPTER 29 - ADMINISTRATION OF WAGERING ACCOUNTS

160. (1) For each wagering account established for the purpose of accepting wagering communications, the licence holder shall record the secure personal identification assigned to the patron and the date/time and amount of each —

Administration
of wagering
accounts.

- (a) deposit;
- (b) withdrawal;
- (c) wager placed and accepted including the wagering transaction number;
- (d) pay-out on winning wager;
- (e) service or other transaction-related charge authorised by the patron; and
- (f) adjustment to the account.

(2) The licence holder shall accept wagers on the patron's wagering account only for eighteen months after the account is opened, unless —

- (a) the patron places an account wager at least once during the eighteen month period; or
- (b) the patron renews the account.

(3) In addition to the posting of the wager in the licence holder's computer system, all wagering communications other than voice communications shall be electronically recorded and retained for a period of sixty days. Such recordings must be made immediately available to any Inspector upon request.

(4) All applications for wagering accounts or, in the case of active accounts, amendments thereto, must be retained by the licence holder.

(5) All applications for wagering accounts or, in the case of active accounts, amendments thereto, which have been rejected by the licence holder shall be retained by the licence holder for no less than one year following the rejection of the related application.

(6) All applications for wagering accounts or, in the case of closed accounts, amendments thereto, shall be retained by the licence holder for no less than one year following the closure of the related wagering account.

**CHAPTER 30 -ACCOUNT WAGERING SYSTEMS
AND TRANSACTIONS**

Requirements for
account wagering
systems.

161. (1) Account wagering systems shall—

- (a) for systems that use other than voice-only wagering communications technology, provide for the patron's review and confirmation of all-wagering information before the wagering communication is accepted by the licence holder and the system shall create a record of the confirmation, which shall be deemed to be the actual transaction of record, regardless of the nature of the wager recorded by the system;
- (b) prohibit wagers from being changed after the patron has reviewed and confirmed the wagering information, and the specific wagering communication transaction has been completed;
- (c) prohibit a licence holder from accepting an account wager, or a series of account wagers, in an amount in excess of the available balance of the wagering account;
- (d) post payment on winning account wagers as a credit to the patron's wagering account as soon as reasonably practicable after the result of the betting event has become official;
- (e) maintain complete records of every deposit, withdrawal, wager, pay-out, and any other debit or credit for each wagering account; and
- (f) for systems that use other than voice-only wagering communications technology, produce a printable record of the entire transaction as required by this section and shall not accept any wagering communication or transaction if the printable record system is inoperable.

(2) Each licence holder that offers account wagering shall adopt, conspicuously display at its licensed premises, make available through the account wagering system, and adhere to written, comprehensive house rules governing account wagering transactions with patrons and without limiting the generality of the foregoing, the rules must include statements to the effect that all applicable house rules apply to wagering accounts.

(3) The licence holder shall provide each patron, upon reasonable request and in accordance with its internal control standards, with a statement of the wagering account

showing each wagering account deposit, each wagering account withdrawal, each credit to the wagering account, and each debit to the wagering account made during the time period reported by the account statement.

(4) For all wagering communications, the licence holder is required to make a voice, print, electronic or other approved record of the entire transaction and shall not accept any such wager or transaction if the recording system is inoperable and the record of the patron's confirmation of all wagering information shall be deemed to be the transaction of record, regardless of what was recorded by the account wagering system and such records shall be made available to the Board upon request.

162. Wagering account deposits may be made by any of the following means —

Wagering
account
transactions.

- (a) cash deposits made directly;
- (b) personal cheques, cashier's cheques, wire transfers and money order deposits made directly or mailed;
- (c) transfers from safekeeping or deposit accounts otherwise held by the licence holder, excluding other wagering accounts;
- (d) debits from a patron's debit card or credit or charge card, upon direct instructions of the patron, provided the use of such card has been pre-approved by the licence holder and designated by the patron;
- (e) debits by electronic transfers of money from a monetary account controlled by a patron, provided that the patron shall be liable for any charges imposed by the transmitting and receiving entity and the charges may be deducted from the patron's wagering account;
- (f) credit issued by the licence holder; and
- (g) any other means approved by the Board.

(2) Wagering account credits may be made by any of the following means—

- (a) deposits; and
- (b) amounts won by a patron.

(3) Wagering account debits may be made by any of the following means—

- (a) amounts wagered by a patron;

- (b) service or other transaction-related charges authorised by the patron; and
- (c) withdrawals.

(3) The holder of a wagering account may make withdrawals in person, upon the production of such identification as may be required by the licence holder, the valid account number and the patron's secure personal identification.

(4) Unless there is a dispute between the patron and the licence holder, wagering account withdrawals shall be completed within a reasonable time not in excess of fourteen days after the licence holder receives a request from a patron by mail, telephone, or any other form of communications technology accompanied by the valid account number and the patron's secure personal identification and, if by mail, a signed completed withdrawal slip.

(4) If sufficient funds are available for a withdrawal requested in terms of paragraph (3) or (4), the licence holder shall make payment to the patron in the amount of the requested withdrawal—

- (a) to the address of record; or
- (b) by electronic credit transfer.

Acceptance of
bets.

163. (1) No licence holder shall be compelled to accept any bet or any type of bet.

(2) A bet shall be deemed to have been concluded once a licence holder has issued a betting ticket to patron in exchange for value, in the form of cash or chips.

(3) Upon accepting a wager, a betting ticket shall be issued from a printer at the betting station and given to the patron, unless the wager has been transmitted by means of communications technology, in which case the betting ticket shall be such written record of the transaction as shall be set forth in the internal control standards of the licence holder, which shall be forwarded to the patron or stored in such a manner as to be accessible to the patron.

(4) Betting tickets shall contain the following information —

- (a) a computer generated unique identification number;
- (b) the date and time of issue;

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- (c) the identification of the station from which the betting ticket was issued;
 - (d) a description of the wager, including the type of wager and the amount; and
 - (e) in the case of electronic tickets, paper receipts shall be made available to the patron upon request, which includes the information listed in this regulation, as applicable.

(5) There shall be two records of the information recorded on each ticket, namely —

- (a) a print out on the printer of the Manager; and
- (b) a record stored on the hard drive of the computer.

(6) The employees of a licence holder shall not have access to the records referred to in paragraph (5).

(7) A licence holder shall not accept a wager on an event unless the date and time at which the outcome of the event is determined can be confirmed from public sources.

(8) A licence holder shall not accept wagers, including a parlay wager, unless the outcome of the relevant events is reported in newspapers or other publications (whether printed or electronic) generally available in The Bahamas, or in official, public records maintained by the appropriate sports league or other governing body, or if the event is televised live at the licensed premises and a licensed employee, other than a writer or cashier monitors the telecast, records the occurrence of the pertinent events and contingencies simultaneously with their occurrence, and records the time of their occurrence.

(9) A licence holder may not accept a wager at the premises from a person who is placing the wager on behalf of another, except as permitted in relation to proxy gaming.

(10) A licence holder may not accept a wager which only becomes effective upon the occurrence of a specified future contingency unless a betting ticket documenting both the wager and the contingency is issued immediately.

(11) A licence holder shall accept wagers only at its licensed premises, betting stations approved by the Board and through account wagering systems approved by the Board.

(12) The odds offered on the outcome of sporting or other betting events shall be conspicuously displayed within the premises of the licence holder.

Cut-off time for acceptance of bets.

164. (1) Except in the case of betting in-running, no further wagering shall be transacted through the computer in respect of that particular betting event after the time of commencement thereof.

(2) The computer shall indicate to the writer whether any event is open for betting.

(3) A licence holder shall not accept a wager if the computer system is incapable of transacting or accepting such wager.

(4) A wager shall not be accepted when the computer is either incapable of voiding a ticket subsequent to the cut-off time or the computer is incapable of producing a report which specifically identifies voided tickets.

(5) Unless otherwise provided in these Rules, a licence holder shall not write or void tickets after the outcome of an event is known.

CHAPTER 31 -PAYMENT PROCEDURES

Payment procedures.

165. (1) Before patrons receive pay-outs on winning tickets issued by the computer, the results of the event shall be fed into the computer's administrative terminal for computerised grading of all wagers.

(2) Before making payment on a ticket, the writer or cashier shall input the betting ticket sequence number into the writer or cashier's terminal.

(3) If the computer authorises payment, the patron shall be paid, and the patron's betting ticket shall be marked "paid", noted with the amount of payment, and the date and time of the payment shall be stamped on the ticket by both the computer and the time stamp.

(4) Winning tickets shall be honoured for six months from the date of the completion of the betting event.

(5) There shall be no reimbursement for lost tickets.

(6) A licence holder shall make payment on a winning wager to the person who presents the patron's copy of the betting ticket representing the wager unless a

decision not to do so is made by the Shift Manager or other senior manager.

(7) The computer shall be incapable of authorising payment on a ticket which has been previously paid, a voided ticket, a losing ticket or an unissued ticket.

(8) Prior to the payment of net winnings in excess of five thousand dollars on a ticket issued by a computer, a Shift Manager or other senior manager shall verify and confirm the integrity of the patron's ticket which shall be initialled by the Shift Manager or other senior manager.

(9) Winning bets in respect of sporting events shall be payable —

- (a) once the medal ceremony, prize giving or podium presentation has been concluded, or the official result of the relevant sporting event has been declared by the body competent to make such declaration;
- (b) in the case of betting in-running, once the result of the component of the event on which the bet was struck has been finally determined, and the subsequent disqualification, promotion of competitors, or any other change shall be irrelevant for the purposes of determining the betting result.

(10) Settling of all bets shall take place on demand, save that —

- (a) where a licence holder has reason to doubt that a person who is the holder of a winning betting ticket is the person who purchased the said ticket, or where a licence holder knows or reasonably ought to know that a person who is the holder of a winning betting ticket is not the person who purchased the said ticket, the licence holder shall require such person to furnish, in support of his or her claim for payment on the ticket, an affidavit setting out the grounds of the claim, and may thereupon withhold payment to such person until the expiry of ninety days calculated from the date upon which the winnings became payable, or such longer period as the licence holder may allow;
- (b) where a person who makes a claim for payment on a winning bet taken with a licence holder alleges that the winning betting ticket has been

lost or destroyed, the licence holder concerned shall require such person to furnish, in support of his or her claim for payment on the ticket, an affidavit setting out the grounds of the claim and the factors on which it is alleged the ticket was lost, and may thereupon withhold payment to such person until the expiry of ninety days calculated from the date upon which the winnings became payable, or such longer period as the licence holder may allow; and

- (c) the licence holder shall retain along with the records required to be retained in terms of the relevant legislation, all affidavits referred to in terms of paragraphs (a) and (b).

CHAPTER 32 - PARLAY WAGERS

Parlay wagers.

166. (1) A parlay card betting ticket issued by the computer, shall be subject to the same control and audit procedures as betting tickets described in rule 163(3), (4) and (5).

(2) A parlay card report shall be produced by the computer to show the total value of tickets sold, total pay-outs and net win.

(3) The procedures described in rule 165 shall apply to the payment of winning parlay card tickets.

(4) If one or more parlay card selections become invalid in terms of these Rules, the wager shall be void and the stake shall be refunded.

(5) A licence holder shall not accept a parlay wager after the start of the first game, match, or other event covered by the wager.

(6) All parlay cards shall fully, accurately and unambiguously show —

- (a) the amounts to be paid to winners or the method by which such amounts are to be determined and, if the licence holder limits pay-outs at an aggregate amount, such aggregate amount;
- (b) the effect of ties;
- (c) the minimum and maximum betting limits, if any;
- (d) the procedure for claiming winnings, including but not limited to the documentation patrons shall present for the purpose of claiming

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- winnings, time limits, if any, for claiming winnings, whether winnings may be claimed and paid by mail and, if so, the procedure for claiming winnings by registered mail;
- (e) the effect of a betting event wagered on not being played on the date specified and of other events or incidents that will cause selections to be invalid;
 - (f) the requirements that a parlay wager must consist of selections that have not become invalid under applicable house rules or the wager will be void and the money wagered will be refunded;
 - (g) the rights, if any, reserved by the licence holder, including, but not limited to reservation of the right to refuse any wager or delete or limit any specified amounts until the outcome of each proposition offered by the parlay card has been determined; and
 - (h) the requirement that the wagering proposition be displayed on the parlay card when the wager is accepted will be used to determine the outcome of the wagers.

(7) A licence holder may limit the aggregate amount to be paid to winners on a parlay card in proportion to the amounts won, provided that the aggregate limit shall not be less than the amount disclosed on the parlay card (“the base amount”), plus twice the amount wagered on the parlay card to which the aggregate limit applies.

(8) When a licence holder knows that actual pay-outs on a parlay card will be limited by an aggregate amount established under paragraph (7), the licence holder shall cease accepting wagers and making pay-outs on the parlay card. After the outcome of the final event covered by the parlay card has been determined, the licence holder shall pay each winner at least that proportion of the payout amount stated on the parlay card that the aggregate limit bears to total pay-outs (including pay-outs made prior to the suspension of pay-outs) that would otherwise have been made but for the limit.

(9) When a licence holder ceases accepting wagers and making pay-outs on a parlay card under paragraph (8), the Licence holder may accept wagers on the parlay card on those subjects whose outcomes have not been

determined if the parlay card and related documentation are distinguishable from the card and documentation as to which the licence holder has ceased accepting wagers, in which case the parlay card shall be considered a different parlay card for purposes of this paragraph.

(10) If a licence holder pays the winner of a parlay wager more than ten percent of the base amount established under paragraph (7) before the outcome of every proposition offered by the parlay card has been determined, the licence holder shall pay every winner of a wager on that parlay card the proper payout amount stated on the parlay card in full and without regard to any aggregate limit established under paragraph (7), but a Board Inspector shall be informed prior to such proper payout being paid to each winner.

(11) The Board may waive or impose requirements more restrictive than the requirements referred to in this rule.

CHAPTER 33 - BALANCES AND PROCEEDS

Balances and
proceeds.

167. (1) For each betting station, the computer shall indicate the amount of cash and gaming chips in a given drawer.

(2) Writers and cashiers shall not be permitted access to this information without supervisory approval.

(3) For each betting station a summary report shall be completed at the conclusion of each shift to include the computation of net cash proceeds for the shift, and signatures and certificate numbers of two employees, one of whom shall be a Supervisor who verified the net cash proceeds for the shift.

CHAPTER 34 -WAGERING SYSTEMS

Requirements for
wagering system.

168. (1) The wagering system shall consist of but shall not be limited to —

- (a) at least one central processing unit or server;
- (b) a main hard drive;
- (c) a secondary mirrored hard drive;
- (d) an item capable of backing up the day's work from the hard drive of all daily activities, through a system, whether on-site or through cloud technology, approved by the Board;
- (e) a writer's station;

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- (f) a parlay card reader;
 - (g) a cashiers' station;
 - (h) management stations;
 - (i) management printers;
 - (j) approved wagering software; and
 - (k) the ability to produce at least a four digit random number on each and every ticket sold, together with a bar code.
- (2) The wagering system shall be capable of producing, without limitation, the following reports —
- (a) a report of wagers accepted;
 - (b) a report of pay-outs made;
 - (c) a results report;
 - (d) a futures report;
 - (e) an unpaid winners report;
 - (f) an exception report;
 - (g) a daily recapitulation report; and
 - (h) personnel access listing.
- (3) Reports made under paragraph (2)(a) to (f) shall contain, but shall not be limited to, the following information —
- (a) the relevant ticket numbers;
 - (b) the date and time when each ticket was written and paid for;
 - (c) the type and amount of each wager made;
 - (d) the team identifications or other designation upon which a wager is made; and
 - (e) the amount of each payout.
- (4) A daily futures report shall contain —
- (a) the relevant ticket numbers;
 - (b) the date and time when each ticket was written;
 - (c) the amount of each wager;
 - (d) future wagers for the day in total and broken down by dates of events; and
 - (e) a summary of future wagers broken down by dates of betting events and in total at the time of revenue recognition.
- (5) A daily unpaid winners report shall contain —
- (a) the relevant ticket numbers;

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- (b) the date and time when each ticket was written;
 - (c) the amount of each wager and pay-out;
 - (d) the total of unpaid winners and wagers.
 - (6) A daily exception report shall contain —
 - (a) the relevant ticket numbers;
 - (b) the date and time when each ticket was written;
 - (c) the type and amount of each wager;
 - (d) exceptions;
 - (e) the time of each exception;
 - (f) a summary of exceptions in a list sorted by exception type.
 - (7) A daily results report shall contain —
 - (a) the date and time of the relevant betting event according to cut-off time input into the computer;
 - (b) the team names and numbers or other designation upon which a wager is made; and
 - (c) the event results and any other relevant pay-out data.
 - (8) A daily recapitulation report shall contain —
 - (a) the date of the report;
 - (b) the total —
 - (i) cash write for the day;
 - (ii) futures written for the day;
 - (iii) futures brought back into revenue in respect of the days events;
 - (iv) accrual write;
 - (v) cash paid out on the prior day's events;
 - (vi) cash paid out on the day's events;
 - (vii) cash pay-outs for the day;
 - (viii) unpaid tickets for the day;
 - (ix) accrual pay-outs;
 - (x) unpaid winners brought back into revenue;
 - (xi) revenue.
 - (9) The personnel access listing report shall contain —
 - (a) employee's name;
 - (b) employee identification number; and

(c) employee's position.

(10) All reports shall be reviewed by the licence holder and any unusual occurrences or fluctuations shall be documented and reported to the Board in summary each month.

(11) For the purposes of paragraph (8) —

“accrual write” means cash write for the day less futures written for the day plus futures brought back into revenue in respect of the day's events;

“cash pay-outs for the day” means cash paid out on the prior day's events plus cash paid out on the day's events;

“accrual pay-outs” means cash paid out on the day's events plus unpaid tickets for the day;

“revenue” means cash write for the day less futures written for the day plus futures brought back into revenue in respect of the day's events less cash paid out on the day's events plus unpaid tickets for the day plus unpaid winners brought back into revenue.

CHAPTER 35 - ACCOUNTING AND AUDITING

169. (1) The accounting procedures of the licence holder shall be performed by personnel who are independent of the transactions being recorded.

Accounting and auditing procedures.

(2) The auditing procedures shall be performed by the internal audit department of the licence holder.

170. (1) The audit procedures described in this rule shall be performed for all betting tickets and parlay card tickets of a value exceeding five thousand dollars, all voided tickets, and for a random sample of all other winning betting tickets and parlay card tickets.

Audit procedures.

(2) The tickets referred to in paragraph (1) shall be recalculated and re-graded using the computer record of sports or other betting event results.

(3) The date and starting time of the betting event according to the Results Report shall be compared to the date and time stamped on the ticket and in the computer sales and transaction reports.

(4) The terms of the wagers as recorded in the computer reports shall be reviewed and compared to an

independent source for extravagant or questionable activity.

(5) The computer reports which display voided ticket information shall be examined to verify that tickets were properly voided prior to the cut-off times for event betting.

(6) The voided tickets shall be examined for the word “void” and proper signatures.

(7) A computerised summary of sports events and results reports of the licence holder shall be traced to an independent source of all events to verify the accuracy of starting times and final results.

Generation and
review of reports.

171. (1) Exception reports shall be reviewed by the Manager on a daily basis for propriety of transactions and unusual occurrences prior to any investigation being performed regarding the exception reports, and the Board shall be informed of any such occurrences.

(2) Reports shall be maintained for each month and year to date which shall indicate the total amount of wagers accepted, the total amount paid out on winning wagers, the net amount won by the licence holder, and the win to write percentage for each event, all betting tickets and all parlay cards, and in total this information shall be reviewed by management of the licence holder at least once a month and copies of these reports shall be submitted to the Board not later than the fifteenth day of the succeeding month.

(3) At least one day in every month, the computer-generated reports shall be reviewed by internal audit personnel for proper handling of future wagers and unpaid winners.

(4) Any unusual statistical fluctuations shall be reported to the Board and an investigation shall be carried out by the management of the licence holder.

CHAPTER 36 - PROHIBITED TRANSACTIONS

Prohibited
transactions.

172. (1) A licence holder shall not offer account wagering services to patrons in jurisdictions outside of The Bahamas which are not permitted foreign jurisdictions.

(2) In the event that the Board receives official governmental communication from a jurisdiction outside of The Bahamas that offering account wagering services to its residents violates the laws of that jurisdiction, the Board

shall send notice to the licence holder and post a general notice on its website, if any, available to all licence holders in The Bahamas and upon receipt of such notice, a licence holder shall use its best efforts promptly to pay out any balances in wagering accounts for patrons from such jurisdictions and to restrict any future sport wagering from such jurisdictions unless and until the Board approves offering such wagering to patrons from such jurisdiction.

(3) The measures to be implemented by a licence holder to prevent persons who are prohibited by the Act from engaging in gaming permitted under the Act from establishing a wagering account shall be documented in its internal control standards and approved by the Board.

CHAPTER 37 - DEVIATIONS OR MODIFICATIONS

173. The Board may approve deviations or modifications of any of the policies or procedures required by this Part, provided it can be reasonably demonstrated that such deviation or modification will achieve the same results as required by such existing policies or procedures.

Approval for deviations or modifications.

CHAPTER 38 - VOID WAGERS

174. (1) In all cases there must be a possibility for either party to win at the time a bet is struck, failing which the bet or the affected selection, as the case may be, shall be void.

Possibility to win.

(2) All bets on contingencies which have already been finally determined shall be void.

175. (1) In the case of a void bet the stake shall be returned to the customer.

Void bets.

(2) In the case of an invalid selection in a single bet, the bet shall be void.

(3) In the case of an invalid selection in a multiple bet, the selection shall be ignored and the stake shall run onto the other selection in the bet at the price indicated on the ticket issued.

(4) Unless otherwise specified in the rules applying to a specific sport, where a selection is taken on an individual or team and such individual or team –

- (a) is a “no show”;
- (b) is eliminated prior to the event through injury or sickness;

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- (c) is eliminated from the competition due to a technical infringement, excluding mechanical breakdown, crash, fall or injury during the event, such a selection will be void.
 - (5) When a betting ticket is voided —
 - (a) the word “void” shall be immediately written or stamped on the original or electronically noted on electronic records and the date and time at which the ticket was voided shall also be stamped or electronically noted;
 - (b) an employee of the level of a Shift Manager or above and the cashier or writer shall sign the ticket at the time of voiding or otherwise electronically approve such voiding.
 - (6) No ticket shall be voided after the start of the event on which a wager has been placed.

CHAPTER 39 - COMPUTER MALFUNCTIONS

Computer malfunctions and errors.

176. (1) In the event of a computer malfunction, winning tickets shall be approved by the Shift Supervisor or a senior manager, and the cashier shall also sign and write the words “Hand Paid” on the ticket or otherwise electronically noted, and documentation supporting and explaining such pay-outs shall be maintained in an exception logbook.

(2) The procedures to be followed in the case of hardware, software or a power failure, or fire, shall be approved by the Board.

(3) A licence holder shall maintain a log containing the following information in relation to computer system failure —

- (a) the date and time of system failure;
- (b) the reason for the failure;
- (c) the date and time when the computer system was restored; and
- (d) the name of the Shift Manager on duty at the time of the failure and restoration.

(4) If, as a result of a human error or system failure, a bet is accepted at a price which is materially different from that generally available in the open market at the time that the bet was struck, or is manifestly incorrect, taking into account the likelihood of the materialisation of the

event or contingency on which such bet is struck, then the bet shall be settled at the price generally prevailing in the market at the time that the bet was struck, or at the starting price, whichever is the greater.

CHAPTER 40 - RULES FOR SPREAD BETTING

177. In this Chapter, unless the context otherwise indicates, the term set out below shall have the following meanings — Definitions.

“going high” or “buying” means wagering that the result of a certain event will exceed the high point or offer price of the spread quoted and “has gone high” or “bought” has a corresponding meaning;

“going low” or “selling” means wagering that the result of a certain event will be below the low point or bid price of the spread quoted and “has gone low” or “sold” has a corresponding meaning;

“spread bet” means a bet laid by a licence holder on the contingency that the outcome of a certain event will fall outside a spread margin;

“spread margin” or “bid-offer price” means the margin, expressed in points, set by a licence holder between a low high and a high low point of predicted outcomes of a particular event;

“stop loss/win” means the maximum amount of points on a spread market that can be won or lost;

“make-up” is the final settlement price of a spread bet; and

“mid-point” is the average of the bid and offer price or the “go-high” and “go-low” price.

178. (1) A spread bet is placed when a patron stakes an amount of money per point by going high or low (buying or selling) where the amount won or lost is directly related to the fixed amount per point wagered. Betting rules for spread betting.

(2) Each spread bet shall be subject to the stop loss or win set by the licence holder on each type of spread betting market offered by it.

(3) All stop losses or wins shall be displayed at all times in the betting area and, at the request of the patron, shall be read out to the patron.

(4) A patron shall lose if the outcome of the event falls within the spread margin or the side of spread margin opposite to that on which he wagered.

(5) The extent of a patron's win shall be determined by taking the lesser of —

- (a) the number of points difference between that point of the spread margin at which the patron wagered and the stop loss or win on that side; and
- (b) the number of points difference between that point of the spread margin at which the patron wagered and the outcome of the event.

(6) The extent of the patron's loss shall be determined by taking the lesser of —

- (a) the number of points difference between that point of the spread margin opposite to that on which the patron wagered and the stop loss or win on that side; and
- (b) the number of points difference between that point of the spread margin opposite to that on which the patron wagered and the outcome of the event.

(7) A licence holder may elect to allow the patron to close his or her bet by either taking a profit or cutting a loss.

(8) If a patron has gone high and elects to take his or her profit or to cut his or her loss, the extent of the patron's win or loss, as the case may be, shall be calculated not with reference to the actual outcome of the event, but with reference to the difference between —

- (a) the high point of the spread margin applicable when the bet was struck; and
- (b) the low point of the spread margin applicable at the time that the profit is taken or the loss is cut, as the case may be.

(9) If a player has gone low and he takes his profit or cuts his loss, the extent of the player's win or loss, as the case may be, shall be calculated not with reference to the

actual outcome of the event, but with reference to the difference between —

- (a) the low point of the spread margin applicable when the bet was struck; and
- (b) the high point of the spread margin applicable at the time that the profit is taken or the loss is cut, as the case may be.

PART 4: RULES IN RESPECT OF PRIVATE GAMING AREAS

CHAPTER 41 - PRIVATE GAMING AREAS

179. (1) The holder of a gaming licence must, before establishing a private gaming area on its licensed premises, provide the Board with a notice complying with this rule.

Notice of intention to establish a private gaming area.

(2) The notice to the Board regarding the establishment of a private gaming area must be accompanied by —

- (a) a description of the location of the proposed private gaming area;
- (b) a diagram or floor plan of the private gaming area, reflecting the number and arrangement of any gaming tables or gaming machines and a clear depiction of each entrance and exit;
- (c) a copy of any internal controls and accounting procedures adopted by the licence holder in relation to the conduct of operations in such area;
- (d) the criteria to be imposed by the licence holder for access to the private gaming area;
- (e) plans for the surveillance and security systems for the private gaming area;
- (f) the days and times of operation for the proposed private gaming area;
- (g) details of any admission charges proposed to be imposed in respect of access to the proposed private gaming area; and
- (h) such additional information and details as may be required by the Board.

(3) No private gaming area may be made available by the holder of a gaming licence without the prior approval of the Board.

Operational controls and regulatory requirements.

180. (1) The licence holder shall ensure that at all times any private gaming area is open, a Gaming Operations Supervisor shall be present in such area.

(2) The licence holder shall maintain a log documenting, for each shift, the name, employee identification number, and position for each employee assigned to the private gaming area, the number of patrons or players visiting the private gaming area and the estimated amount wagered and paid out as winnings.

(3) A private gaming area shall be subject to inspection by the Board at any time in accordance with the provisions of the Act.

(4) Every private gaming area is subject to the same standards in relation to surveillance monitoring as those apply in respect of any other designated area in a casino in terms of the Act.

PART 5: RULES IN RESPECT OF GAMING TECHNOLOGY

CHAPTER 42 - DEFINITIONS

Definitions.

181. Any word or expression used in these Rules which is defined in the Gaming Act or the Regulations made in terms thereof shall have the meaning assigned to it therein, unless it is otherwise defined in these Rules or the context indicates otherwise. In this Part, unless the context indicates otherwise —

“game outcome” is the final result of the wager;

“ISO/IEC” means International Organization of Standards/International Electro-technical Commission;

“licence holder” means the holder of a gaming licence, a proxy gaming licence or a restricted interactive gaming licence, as indicated by the context; and

“proprietary hardware and software” means hardware or software specifically designed for use in a gaming machine.

CHAPTER 43 - GAMING MACHINES

Requirements for gaming machines.

182. (1) Gaming machines connected to a common pay-out schedule shall —

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- (a) all be of the same denomination and have equivalent odds of winning the common pay-out schedule or common award; or
 - (b) if of different denominations, equalise the expected value of winning the pay-out schedule or common award on the various denominations by setting the odds of winning the pay-out schedule in proportion to the amount wagered or by requiring the same wager to win the pay-out schedule or award regardless of the device's denomination and the method of equalising the expected value of winning the pay-out schedule/award shall be conspicuously displayed on each device connected to the common pay-out schedule/common award and for the purposes of this requirement, equivalent is defined as within a 5% tolerance for expected value and no more than a 1% tolerance on return to player or pay-out.
- (2) All gaming machines offered for play in The Bahamas —
- (a) must display —
 - (i) the rules of play;
 - (ii) the amounts to be paid on winning wagers;
 - (iii) any fee charged to play a game; and
 - (iv) any monetary wagering limits for games representative of live gambling games;
 - (b) must not automatically alter pay tables or any function of the device based on internal computation of the hold percentage; and
 - (c) must meet the prescribed technical standards.
- (3) Where a licence holder converts a gaming machine from one approved game configuration to another approved game configuration, such licence holder shall maintain complete and accurate records of all such conversions.
- (4) A licence holder shall keep a written list of repairs made to gaming machines offered for play that require a replacement of parts that affect the game outcome and shall make the list available for inspection by the Board upon its request.

CHAPTER 44 - APPLICATIONS FOR APPROVAL

Applications for approval of new gaming platform.

183. (1) An application for the approval of a new gaming platform shall include the following —

- (a) a complete, comprehensive, and technically accurate description and explanation in both technical and lay language of the manner of operation of the gaming platform the manner in which it complies will the applicable requirements of law and the prescribed norms and standards;
- (b) a statement that, to the best of the manufacturer's knowledge, the gaming platform meets the prescribed standards in respect thereof;
- (c) a certificate from a registered independent testing laboratory that it holds copies of all executable software, including data and graphic information, and a copy of all source code for programs that cannot be reasonably demonstrated to have any use other than in a gaming machine, submitted on electronically readable, unalterable media or electronically through direct FTP transfer to the independent testing laboratory;
- (d) a copy of all graphical images displayed on the gaming machine(s) utilising the gaming platform including, but not limited to, reel strips, rules, instructions and pay-tables;
- (e) all materials relating to the results of the registered independent testing laboratory's inspection and certification process; and
- (f) such further information as the Board may require.

(2) The Board shall approve a new gaming platform only if it meets the prescribed standards.

Applications for new games or game variations.

184. (1) Any person seeking approval of a new game or game variation shall pay the costs of the application and game review.

(2) Each application for the approval of a new game or the variation of a game must include —

- (a) the name of the game which must be different than the name of a game currently approved by the Board;

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- (b) a description of the new game or game variation, including the rules of play, the proposed schedule of pay-outs, and a statistical evaluation of theoretical percentages of the game;
 - (c) all materials relating to the results of the registered independent testing laboratory's inspection and certification process that are required under these Regulations; and
 - (d) such other information as the Board may require.

185. An application for registration as an independent testing laboratory must be accompanied by —

Application for registration as an independent testing laboratory.

- (a) copies of all ISO/IEC 17025 certification and accreditation materials except if the independent testing laboratory is only seeking registration for the inspection and certification of games and game variations;
- (b) all ISO required internal controls, policies and procedures, except if the independent laboratory is only seeking registration for the inspection and certification of games and game variations;
- (c) a detailed description of the testing facilities;
- (d) a detailed description of available testing staff and staff qualifications, including education, training, experience and skill levels;
- (e) a detailed description of available testing equipment;
- (f) copies of documented policies, systems, programs, procedures and instructions to assure the quality of test results;
- (g) copies of all test scripts to be used for testing against the applicable Bahamas statutes, regulations, standards, and policies;
- (h) information regarding the business organisation and ownership of the applicant, including, but not limited to —
 - (i) copies of documents evidencing business formation and constitutional documents;
 - (ii) an organisational chart depicting the ownership structure of the Independent testing laboratory, including, but not limited to, any parent and affiliated organisations;

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- (iii) an organisational chart depicting the applicant's management structure;
 - (iv) a list of all employees and other individuals who have significant involvement with reviewing, testing, analysis, or certification of the games, gaming machines, components thereof or modifications thereto, gaming equipment, or account wagering, restricted interactive gaming, and proxy gaming systems;
 - (v) a list of all officers and directors of the independent testing laboratory and of any person or entity that owns or has significant involvement with the activities of the independent testing laboratory, including any intermediary entities; and
- (i) a statement from the applicant confirming —
 - (i) that the information provided to the Board is accurate and complete;
 - (ii) that it agrees to cooperate with all requests, inquiries, or investigations of the Board; and
 - (iii) that the Board retains jurisdiction over the independent testing laboratory in any matter involving a game, gaming machine, gaming device, gaming equipment, gaming platform, gaming or wagering system or any component thereof or modification thereto which it certifies for use in The Bahamas, even if its registration lapses, is voluntarily terminated, or is revoked; provided that, upon written request and on good cause shown, the Board may waive any requirement of this rule.

(2) An independent testing laboratory must agree to indemnify and hold harmless the Government of The Bahamas, the Minister, the Board, and each of their members, agents, and employees in their individual and representative capacities against any and all claims, suits and actions, brought by reason of any inspections or certifications performed by a registered independent testing laboratory, and all other matters relating thereto, and against any and all expenses, damages, charges and costs, including court costs and attorney fees, which may be

sustained by the persons and entities named in this subsection as a result of said claims, suits and actions.

(3) Each independent testing laboratory must be registered with the Board for each category of inspection and certification for which the laboratory seeks to provide results.

(4) The categories of inspection and certification include —

- (a) gaming devices;
- (b) games and game variations;
- (c) gaming machines and gaming machine modifications;
- (d) gaming platforms and gaming platform modifications;
- (e) account wagering systems;
- (f) restricted interactive gaming systems;
- (g) proxy gaming systems; and
- (h) any other category of inspection and certification that the Board may deem appropriate.

(5) In order to qualify for registration, the independent testing laboratory, and any other person, entity or testing facility that is required to register, must —

- (a) demonstrate probity;
- (b) be independent of any manufacturer, distributor, supplier or licence holder of any game, gaming platform, gaming device, gaming machine, or any component thereof or modification thereto, regardless of whether or not such person or entity is approved, registered, or otherwise does business in The Bahamas;
- (c) be accredited in accordance with ISO/IEC 17025 by an accreditation body that is a signatory to the International Laboratory Accreditation Cooperation Mutual Recognition Agreement, unless the independent testing laboratory is only seeking registration for the inspection and certification of games and game variations;
- (d) demonstrate that it is technically competent in testing the category of game, gaming machine, or system in which it is seeking registration; and

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- (e) demonstrate that it is technically competent to test compliance with the applicable Bahamas statutes, regulations, standards and policies.

CHAPTER 45 - INDEPENDENT TESTING LABORATORIES

Registered
independent
testing
laboratories.

186. (1) Once registered with the Board, an independent testing laboratory must notify the Board of any change in ownership of the registered independent testing laboratory, any change in directors or officers, and any other material changes to the information included in its application for registration or the information submitted in conjunction with or subsequent to its application within thirty days of such change.

(2) By the 15th day of each January and July, a registered independent testing laboratory shall provide the Board with a report containing the names, employee identification numbers and positions of any employees who have significant involvement with the reviewing, testing, analysis, or certification of the games, gaming machines, components thereof or modifications thereto, gaming equipment, or account wagering, restricted interactive gaming, and proxy gaming systems.

(3) Registered independent testing laboratories shall maintain copies of the results of any ISO/IEC 17025 audits or reviews and shall notify the Board in writing of the availability of the results within fifteen days after they become available to the registered independent testing laboratory. Such copies shall be provided to the Board upon request.

(4) A registered independent testing laboratory shall make available for inspection by the Board upon request any original testing documentation, methodologies, and any revisions to the testing documentation or methodologies used for the certification process.

(5) All testing by the registered independent testing laboratory shall be performed, specifically in accordance with the Act, and such control standards, control procedures, policies, or processes implemented or issued by the Board.

(6) The —

- (a) registered independent testing laboratory shall not assign, delegate, subcontract, or otherwise engage any person not directly employed by it

for any testing for which the laboratory has been registered in The Bahamas.

- (b) Board, in its sole discretion, may, on application by a registered independent testing laboratory, permit a registered independent testing laboratory to utilise the services of a person other than a person directly employed by it to perform defined functions associated with the testing and certification procedures to be performed.

(7) Any application in terms of paragraph (6)(b) must be lodged with the Board in writing prior to utilizing the services of the third party. Any permission granted under this subsection must be in writing and shall be limited as to time and scope in whatever degree the Board deems appropriate under the circumstances and may be revoked by the Board in writing at any time in its sole discretion.

(8) A registered independent testing laboratory shall implement and maintain security and access control systems designed to secure and protect the confidentiality of all equipment, software, and other information entrusted to it.

(9) A registered independent testing laboratory is required to maintain all test equipment in accordance with the manufacturer's specifications and recommendations, and shall provide the Board with evidence of such upon demand.

(10) A registered independent testing laboratory shall retain all submission and testing related documentation. Such records may be maintained in electronic form. The obligation to maintain such records shall continue, even if the independent testing laboratory ceases to be registered with the Board, or otherwise ceases its business operation, provided that an independent testing laboratory may turn all such records over to the Board in electronic form as an alternative to having to maintain such records after its deregistration or after its business operation ceases.

187. (1) A registered independent testing laboratory shall notify the Board immediately of any material issues concerning any game, gaming platform, gaming device or machine, or any component thereof or modification thereto, account wagering, restricted interactive gaming or proxy gaming system that it inspected or certified for use

Notification requirements.

in The Bahamas, which it becomes aware of subsequent to having issued its inspection and certification report relating thereto.

(2) A registered independent testing laboratory shall notify the Board immediately of any attempts by a manufacturer, distributor, or licence holder improperly to influence the registered independent testing laboratory, or any of its employees, managers, or owners, in or in connection with any inspection or certification services it is providing, has provided, or has been requested or intends to provide.

PART 6: RULES IN RESPECT OF PROXY AND RESTRICTED INTERACTIVE GAMING

CHAPTER 46-DEFINITIONS

Definitions.

188. Any word or expression used in these Rules which is defined in the Gaming Act or the Regulations made in terms thereof shall have the meaning assigned to it therein, unless it is otherwise defined in these Rules or the context indicates otherwise. In this Part, unless the context indicates otherwise —

“authorised player” means a person who has registered as a player with an operator;

“marketing provider” means a person or entity that promotes proxy gaming or restricted interactive gaming of an operator in order to provide players for that operator’s proxy gaming or restricted interactive gaming operations;

“operate proxy gaming” means to operate, carry on, conduct, manage, maintain or expose for play, proxy gaming through a proxy gaming system, in or from the premises of a licence holder at a casino resort;

“operate restricted interactive gaming” means to operate, carry on, conduct, manage, maintain or expose for play, restricted interactive gaming on a restricted interactive gaming system, in or from the premises of the holder of a restricted interactive gaming licence at a casino resort;

“operator” means the holder of a licence issued in terms of the Act which authorises such licence holder to operate restricted interactive gaming

and/or proxy gaming in or from the premises of such licence holder, which are a part of a casino resort;

“operator of proxy gaming” means the holder of a proxy gaming licence;

“operator of restricted interactive gaming” means the holder of a restricted interactive gaming licence;

“patron competitive game” means any game in which players compete and wager against each other, such as the game of poker;

“proxy gaming system” means a system provided by an operator and used by an authorised player and a surrogate player to communicate wagering or betting information and gambling game information while the surrogate is located on the premises of the operator;

“relevant legislation” means the Financial Transactions Reporting Act, 2000, the Financial Transactions Reporting Regulations, 2000, the Financial Intelligence Unit Act, the Financial Intelligence (Transactions Reporting) Regulations, and the Proceeds of Crime Act, and any other legislation in force in The Bahamas for the prevention and detection of money-laundering and counter-terrorist financing;

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“restricted interactive gaming system” means any system for accepting wagers through a patron’s wagering account via any communications technology or device without the intervention of a surrogate player;

“surrogate player” means a licensed employee of an operator of proxy gaming that acts on behalf of an authorised player to place wagers funded from the authorised player’s wagering account;

“wagering account” means an electronic ledger operated and maintained by an operator wherein information relative to proxy gaming or restricted interactive gaming is recorded on behalf of an authorised player including, but not limited to, the following types of transactions —

- (a) Deposits;
- (b) Withdrawals;
- (c) Amounts wagered;
- (d) Amounts paid on winnings; and
- (e) Adjustments to the wagering account; and

“wagering communication” means the transmission of a wager, or of information assisting a surrogate player in placing a wager, between a point of origin and a point of reception using communications technology.

CHAPTER 47 - FORMAL REQUIREMENTS FOR SYSTEMS

Approval of gaming and wagering systems.

189. Proxy gaming systems and restricted interactive gaming systems must be approved by the Board and certified by a registered independent testing laboratory in accordance with the Act and any regulations made thereunder.

Access to systems.

190. Prior to operating a proxy gaming system or restricted interactive gaming system, the operator shall provide the Board with a list of all persons who may access the main computer and data communications components of their proxy gaming or restricted interactive gaming system and any changes to that list shall be provided to the Board within ten days after such change.

CHAPTER 48 - INTERNAL CONTROL STANDARDS

Internal control standards.

191. (1) Prior to performing any of the activities authorised by its licence, an operator of proxy gaming shall submit to the Board its internal control standards for approval by the Board, in such manner and format as the Board may require or approve.

(2) The internal control standards referred to in paragraph (1) shall —

- (a) describe the controls and administrative and accounting procedures to which it will adhere when conducting the activities authorised by its licence; and
- (b) to establish the standards and processes against which an inspection by the Board will be undertaken.

192. At a minimum, the internal control standards of an operator of proxy gaming shall include internal controls for —

Internal control standards for operators of proxy gaming.

- (a) administrative, accounting and audit procedures for the purpose of determining the operator's liability for taxes and fees and for the purpose of exercising effective control over the operator's internal affairs;
- (b) maintenance of all aspects of security of the proxy gaming system;
- (c) the registration of authorised players to engage in proxy gaming;
- (d) the identification and verification of authorised players to prevent those who are not authorised players from engaging in proxy gaming. The procedures and controls must incorporate identification methods and measures in order to manage and mitigate the risks of non-face-to-face transactions inherent in proxy gaming;
- (e) the identification and verification of surrogate players affiliated with an authorised player. The procedures and controls must incorporate identification measures of the surrogate player, along with a log of the surrogate player's presence on the gaming floor of the operator of proxy gaming;
- (f) the maintenance of lists of surrogate players affiliated with an authorised player and the ability of authorised players to make changes to such lists in a recorded communication;
- (g) ensuring the protection and ongoing confidentiality of authorised player's wagering accounts;
- (h) reasonably ensuring that proxy gaming is engaged in between natural person only;
- (i) reasonably ensuring that proxy gaming is conducted fairly and honestly, including measures to prevent unauthorised surrogates from placing wagers funded through an authorised player's wagering account;
- (j) the performance of testing to measure and ensuring the integrity of the proxy gaming system on an ongoing basis;

- (k) the promotion of responsible gaming in relation to proxy gaming and the exclusion from access to proxy gaming of individuals excluded from participation in gaming in terms of section 71 of the Act; and
- (l) the provision of methods or mechanisms to ensure substantial compliance with the Regulations.

Internal control standards for operators of restricted interactive gaming.

193. (1) At a minimum, the internal control standards of an operator of restricted interactive gaming shall make provision for—

- (a) the matters set forth in Chapter 31 of the Gaming Regulations;
- (b) to the extent that such matters are not fully set forth in Chapter 31 of the Gaming Regulations, the matters set forth in rule 191, which shall apply, read with the changes required by the context; and
- (c) measures in relation to the protection of an authorised player's personal identifying information, including, but not limited to the designation and identification of one or more employees in management positions reporting directly to the Chief Executive Officer, or equivalent, of the operator with primary responsibility for—
 - (i) the design, implementation and ongoing evaluation of such procedures and controls;
 - (ii) the procedures to be used to determine the nature and scope of all personally identifiable information collected, the locations in which such information is stored, and the devices or media on which such information may be recorded for purposes of storage or transfer;
 - (iii) the policies to be utilized to protect personally identifiable information from unauthorised access by employees, business partners, and persons unaffiliated with the company;
 - (iv) notification to authorised player of privacy policies;
 - (v) procedures to be used in the event the operator determines that a breach of data

- security has occurred, including required notification to the Board; and
- (vi) provision for compliance with all laws in force in The Bahamas concerning the confidentiality and security of personally identifiable information.

194. The Board may, by publication of Rules under section 82 of the Act, determine additional aspects of restricted interactive gaming or proxy gaming in respect of which internal controls complying with minimum standards are required.

Further minimum standards.

CHAPTER 49 - PROHIBITED TRANSACTIONS

195. (1) Each operator shall implement procedures that are designed to detect and prevent transactions that may be associated with money laundering, fraud and other criminal activities and to ensure compliance with the relevant legislation.

Controls in respect of prohibited transactions.

(2) An operator shall employ all reasonable efforts to prevent persons who are prohibited by the Act from engaging in gaming from establishing a wagering account to engage in proxy gaming or restricted interactive gaming, and shall, on a monthly basis, provide the Board with a report which shall set forth —

- (a) in the case of an operator of proxy gaming —
- (i) a list of all the foreign jurisdictions of which its authorised players are citizens;
 - (ii) the number of authorised players per foreign jurisdiction listed;
 - (iii) details of —
 - (aa) any failure by its internal controls to identify any transaction referred to in paragraph (1) or any person referred to in paragraph (2);
 - (bb) the reasons for such failure;
 - (cc) the measures taken by the operator to address the contravention; and
 - (dd) the measures taken, or proposed to be taken, to ameliorate its internal controls in the manner required to prevent a recurrence of such contravention;

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- (b) in the case of an operator of restricted interactive gaming —
 - (i) a list of all the foreign jurisdictions of which its authorised players are citizens;
 - (ii) the number of authorised players per foreign jurisdiction listed;
 - (iii) identifying references to the laws of that jurisdiction in relation to gaming;
 - (iv) the identifying details of any regulatory authority having jurisdiction in respect of gaming in such foreign jurisdiction;
 - (v) the current status of any law referred to in subparagraph (iii), including any proposed or pending amendment thereof in respect of restricted interactive gaming; and
 - (vi) details of —
 - (aa) any failure by its internal controls to identify any transaction referred to in paragraph (1) or any person referred to in paragraph (2);
 - (bb) the reasons for such failure;
 - (cc) the measures taken by the operator to address the contravention; and
 - (dd) the measures taken, or proposed to be taken, to ameliorate its internal controls in the manner required to prevent a recurrence of such contravention.

(3) In the event that the Board receives any official governmental communication from any jurisdiction outside of The Bahamas stipulating that offering restricted interactive gaming or proxy gaming to its citizens or residents violates the laws of that jurisdiction, the Board shall transmit such communication to the operator and post a general notice on its website available to all operators in The Bahamas.

(4) Upon receipt of a communication referred to in paragraph (3), an operator shall use its best efforts promptly to pay out any balances standing to the credit of wagering accounts established by authorised players from such jurisdictions and to restrict any future wagering from such jurisdictions.

CHAPTER 50 - HOUSE RULES

196. (1) Each operator shall adopt, and adhere to comprehensive written house rules governing wagering transactions by and between authorised players that are available for review at all times by authorised players through a conspicuously displayed link for restricted interactive gaming or by request through proxy gaming. House rules.

(2) The house rules referred to in paragraph (1) shall include, but not be limited to —

- (a) a clear and concise explanation of all fees;
- (b) the rules of play of a game or the proposition of a wager;
- (c) any monetary wagering limits; and
- (d) any time limits pertaining to the playing of a game or placing of a wager.

(3) Prior to adopting or amending any house rules, the operator of shall submit such rules or amendments thereto to the Board for its approval.

CHAPTER 51 - PATRON REGISTRATION

197. (1) Before allowing or accepting any wagering communication from an individual to engage in proxy gaming or restricted interactive gaming, an operator must register the individual as an authorised player and create a wagering account for the individual. Registration of patrons.

(2) An operator of restricted interactive gaming must comply with—

- (a) the provisions of this Part; and
- (b) the provisions of Chapter 31 of the Gaming Regulations.

(3) An operator may register an individual as an authorised player if the individual provides the operator with the following information —

- (a) the identity of the individual;
- (b) the individual's date of birth showing that the individual is eighteen years of age or older;
- (c) the physical address at which the individual resides;
- (d) that the individual is not an excluded person, as referred to in section 74 of the Act;

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- (e) that the individual is not on any list of prohibited patrons established by the Board or licence holder; and
 - (f) such other information or documentation that may be requested by the operator or required by the laws of The Bahamas.
- (4) Before registering an individual as an authorised player, the individual must confirm —
- (a) that the information provided to the operator by the individual for the purposes of registration is accurate;
 - (b) that the individual has reviewed and acknowledged access to the house rules for proxy gaming or restricted interactive gaming;
 - (c) in the case of an individual who has applied for a proxy gaming account, that such individual has been informed and has acknowledged that, as an authorised player —
 - (i) he expressly grants access to his wagering account to a surrogate player; and
 - (ii) he is prohibited from engaging in proxy gaming from a jurisdiction in which proxy gaming is illegal and that the operator is prohibited from allowing such proxy gaming;
 - (d) in the case of an individual who has applied for a restricted interactive gaming account, that such individual has been informed and has acknowledged that, as an authorised player —
 - (i) he is prohibited from allowing any other person access to or use of his or her wagering account; and
 - (ii) he is prohibited from engaging in restricted interactive gaming from a jurisdiction in which restricted interactive gaming is illegal and that the operator is prohibited from allowing such restricted interactive gaming;
 - (e) his consent for the monitoring and recording by the operator of proxy gaming or operator of restricted interactive gaming and the Board of any wagering communications; and

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- (f) his or her consent to the exclusive jurisdiction of The Bahamas to resolve disputes arising out of proxy gaming or restricted interactive gaming,
 - (4) An operator may allow an individual to register as an authorised player either remotely from licensed premises or a permitted foreign jurisdiction, or in person.

CHAPTER 52 - WAGERING ACCOUNTS

198. (1) An operator shall record and maintain the following in relation to a wagering account—

Requirements for and management of wagering accounts.

- (a) the date and time of the opening or termination of the wagering account;
 - (b) the dates and times on which the wagering account is logged into or is logged out of; and
 - (c) the physical location, by jurisdiction, of the authorised player while logged into the wagering account or while using the proxy gaming system.
- (2) An operator shall ensure that—
- (a) an individual registered as an authorised player holds a wagering account with the operator; and
 - (b) no authorised player shall occupy more than one position at a patron competitive game at any given time.
- (3) Funds may be deposited by an authorised player into a wagering account assigned for proxy gaming or restricted interactive gaming by means of—
- (a) cash deposits made directly with the operator;
 - (b) personal cheques, cashier's cheques, traveller's cheques, wire transfer and money order deposits made directly or mailed to the operator;
 - (c) transfers from safekeeping or front money accounts otherwise held by the operator;
 - (d) debits from an authorised player's debit card or credit card;
 - (e) transfers through the automated clearing house or from another mechanism designed to facilitate electronic commerce transactions; or
 - (f) any other means approved by the Board.
- (4) Proxy gaming or restricted interactive gaming account credits may be generated by means of—

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- (a) deposits;
 - (b) amounts won by an authorised player;
 - (c) promotional credits, or bonus credits provided by the operator and subject to the terms of use established by the operator and as long as such credits are clearly identified as such; and
 - (d) adjustments made by the operator following the resolution of a dispute.
- (5) Proxy gaming or restricted interactive gaming account debits may be made by the following means—
- (a) amounts wagered by an authorised player through restricted interactive gaming;
 - (b) amounts wagered by a surrogate player through proxy gaming;
 - (c) purchases of restricted interactive gaming related merchandise and services requested by an authorised player;
 - (d) withdrawals;
 - (e) transfers to safekeeping or front money accounts held by the operator;
 - (f) adjustments made by the operator following the resolution of a dispute; and
 - (g) debits as otherwise approved by the Board.
- (6) Funds deposited into a proxy gaming or restricted interactive gaming account from a financial institution shall not be transferred out of the wagering account to a different financial institution, except as otherwise provided for in the approved internal control standards of the operator.
- (7) Unless there is a pending unresolved player dispute or investigation, an operator shall comply with a request for a withdrawal of funds by an authorised player from his or her wagering account within a reasonable amount of time.
- (8) An operator shall not allow an authorised player to transfer funds to any other authorised player.
- (9) An operator shall not allow an authorised player's wagering account to be overdrawn unless caused by payment processing issues beyond the control of the operator.

(10) An operator shall neither extend credit to an authorised player nor allow the deposit of funds into a wagering account that are derived from the extension of credit by affiliates or agents of the operator, provided that, for the purposes of this paragraph, credit shall not be deemed to have been extended where, although funds have been deposited into a wagering account, the operator is awaiting actual receipt of such funds in the ordinary course of business.

(11) A copy of the agreement used between an operator and its authorised players pertaining to proxy gaming or restricted interactive gaming and authorised players' access to their wagering accounts shall be provided to the Board and shall comply with any requirements determined by the Board from time to time regarding the content of such agreements.

(12) An operator shall ensure that an authorised player has the ability, through his or her wagering account, to select responsible gambling options that include a wager limit, loss limit, time-based loss limits, deposit limit, session time limit, and time-based exclusion from wagering through proxy gaming or restricted interactive gaming accounts.

(13) Nothing in this regulation prohibits an operator from closing a wagering account and precluding further participation in proxy gaming or restricted interactive gaming by an authorised person pursuant to the terms of the agreement concluded between the operator of proxy gaming or operator of restricted interactive gaming and an authorised player.

CHAPTER 53 - RESERVES

199. (1) An operator shall maintain a reserve in the form of cash, cash equivalents, an irrevocable letter of credit, a bond or a combination thereof, for the benefit and protection of authorised players' funds held in wagering accounts.

Reserves.

(2) The amount of the reserve shall be equal to the sum of all authorised players' funds held in proxy gaming and restricted interactive gaming accounts combined, provided that amounts available to authorised players for play that are not redeemable for cash may be excluded from the reserve requirement.

(3) If a reserve is maintained in the form of—

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- (a) cash, a cash equivalent or an irrevocable letter of credit, it must be held or issued, as applicable, by a bank licensed in The Bahamas;
 - (b) a bond, it must be issued by a licensed bank or insurance company in The Bahamas, and such reserve must be established pursuant to a written agreement between the operator and the licensed bank or insurance company, which must comply with the provisions of paragraph (4) be provided to the Board, in copy form, upon the execution thereof.
- (4) The agreement described in paragraph (3) must reasonably protect the reserve against claims of creditors of the operator other than the authorised players for whose benefit and protection the reserve is established, comply with any parameters established by the Board from time to time and must provide that —
- (a) the reserve is established and held in trust for the benefit and protection of authorised players to the extent the operator holds money in wagering accounts for such authorised players;
 - (b) the reserve must not be released, in whole or in part, except to the Board on the written demand of the Board or to the operator on the written instruction of the Board and the reserve must be available within sixty days of the written demand or written notice;
 - (c) the operator may receive income accruing on the reserve unless the Board instructs otherwise;
 - (d) the operator has no interest in or title to the reserve except to the extent expressly allowed in this section; and
 - (e) the agreement may be amended only with the prior written approval of the Board.
- (5) An operator must calculate its reserve requirements each day, provided that if an operator determines that its reserve is not sufficient to cover the calculated requirement, the operator must, within twenty-four hours, notify the Board of this fact in writing and must also indicate the steps the operator has taken to remedy the deficiency.
- (6) An operator —
- (a) must engage an independent certified public accountant to examine the records relating to the

reserve each month and determine the reserve amounts required by this rule for each day of the previous month and the reserve amounts actually maintained by the operator on the corresponding days;

(b) shall make available to the accountant whatever records are necessary to make this determination.

(7) The accountant shall report the findings with respect to each day of the month under review in writing to the Board and to the operator by no later than the tenth day of the month following the month in respect of which the review was conducted.

(8) A report referred to in paragraph (7) shall include the statement of the operator addressing each day of non-compliance and the corrective measures taken.

(9) If approved in writing by the Board, the report required by this section may be prepared by an employee of the operator or its affiliate, provided that the employee is independent of the operation of proxy gaming or restricted interactive gaming.

(10) The Board may require any reserve required by this section be increased to correct any deficiency or for good cause to protect authorised players.

(11) If the reserve exceeds the requirements of this section, the Board shall, upon the written request of an operator of proxy gaming or operator of restricted interactive gaming, authorise the release of the excess.

(12) When an operator ceases the operation of restricted interactive gaming or proxy gaming, the Board may demand payment of the reserve and any income accruing on the reserve after such operations have ceased, unless authorised to be retained by the operator, and, if instructions from the Board that income accruing on the reserve not be paid to the operator are in effect when operations cease, any income accruing since the instructions took effect and the Board shall take steps as are necessary to effect the proper distribution of the funds.

(13) In addition to the reserve required pursuant to this section, and other requirements that may be imposed pursuant to other regulations, an operator shall maintain cash in the sum of the following—

- (a) 25% of the total amount of authorised players' funds held in wagering accounts, excluding those funds that are not redeemable for cash; and
- (b) the full amount of any progressive jackpots related to restricted interactive gaming.

(14) For the purposes of this rule, “month” means a calendar month unless the Board requires or approves a different monthly period to be used for purposes of this section, in which case “month” means the monthly period so required or approved by the Board.

CHAPTER 54 - EXCLUDED PERSONS

Exclusion
procedures.

200. (1) An operator must establish and implement policies and procedures designed to permit the exclusion of persons from participating in proxy gaming or restricted interactive gaming, as referred to in section 74 of the Act.

(2) The policies and procedures referred to in paragraph (1) shall include, without limitation, the following —

- (a) monitoring, on an ongoing basis, the register of excluded persons referred to in section 74 of the Act;
- (b) closing the wagering accounts established by person on the register of excluded persons;
- (c) ongoing employee training to ensure enforcement of these policies and procedures; and
- (d) ensuring the availability, on its licensed premises or website, as the case may be, of the prescribed application form for exclusion.

(3) An operator must take all reasonable steps to prevent any marketing material from being sent to an individual who has self-excluded.

(4) An operator shall not accept or facilitate a wager —

- (a) on any game which the operator knows or reasonably should know is made by a person listed on the register of excluded persons; or
- (b) from a person who the operator knows or reasonably should know is placing the wager or directing a surrogate player to place a wager through a proxy gaming system from a

jurisdiction which is not a permitted foreign jurisdiction.

CHAPTER 55 - PROGRESSIVE PAY-OUT SCHEDULES

201. For the purposes of this rule —

Progressive pay-out schedules.

“base amount” means the amount of a progressive pay-out schedule initially offered before it increases;

“incremental amount” means the difference between the amount of a progressive pay-out schedule and its base amount; and

“progressive pay-out schedule” means any pay-out schedule associated with a game played on a restricted interactive gaming system, including those associated with contests, tournaments or promotions, that increases automatically over time or as the game(s) or machine(s) are played.

(2) To the extent an operator of restricted interactive gaming offers any progressive pay-out schedule, the operator of restricted interactive gaming shall comply with this rule.

(3) The amount of a progressive pay-out schedule shall be conspicuously displayed during an authorised player’s play of a game to which the pay-out schedule applies and each operator of restricted interactive gaming shall record the base amount of each progressive pay-out schedule when the relevant game is first exposed for play and subsequent to each pay-out and when a reduction is attributable to a pay-out, the operator of restricted interactive gaming shall record the pay-out form number on the log or have the number reasonably available.

(4) An operator of restricted interactive gaming may change the rate of progression of any progressive pay-out schedule provided that records of such changes are created.

(5) An operator of restricted interactive gaming may limit a progressive pay-out schedule to an amount that is equal to or greater than the amount of the pay-out schedule when the limit is imposed and the operator of restricted interactive gaming shall conspicuously provide notice of the limit during an authorised player’s play of a game to which the limit applies.

(6) An operator of restricted interactive gaming shall not reduce the amount of a progressive pay-out schedule or otherwise eliminate a progressive pay-out schedule unless —

- (a) an authorised player wins the progressive pay-out schedule;
- (b) the operator of restricted interactive gaming adjusts the progressive pay-out schedule to correct a malfunction or to prevent the display of an amount greater than a limit imposed pursuant to paragraph (5), and the operator documents the adjustment and the reasons for it; or
- (c) the Board, upon a showing of exceptional circumstances, approves a reduction, elimination, distribution, or procedure not otherwise described in this subsection, which approval is confirmed in writing to the operator of restricted interactive gaming.

(7) Except as otherwise provided by this rule, the incremental amount of a progressive pay-out schedule is evidence of an obligation to the authorised players of the operator of restricted interactive gaming, and it shall be the responsibility of the operator of restricted interactive gaming, if it ceases operation of the progressive game, to arrange satisfaction of that obligation in a manner acceptable to the Board.

(8) Distribution of progressive pay-outs shall only be made to authorised players.

CHAPTER 56 - DISPLAY OF INFORMATION

Information to be displayed.

202. An operator of restricted interactive gaming must provide for the prominent display of the following information on a page or display which, by virtue of the construction of a website or software, authorised players must access before beginning a session for gaming —

- (a) the full name of the operator and address from which it carries on business;
- (b) a statement that the operator is licensed and regulated by the Board;
- (c) the license number of the operator, if any;
- (d) a statement that persons under the age of 18 years and citizens of The Bahamas are not permitted to engage in restricted interactive gaming;

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- (e) a statement that persons located in a jurisdiction where restricted interactive gaming is not legal are not permitted to engage in restricted interactive gaming; and
 - (f) active links to —
 - (i) information explaining how disputes are resolved;
 - (ii) a website or information page which offers information pertaining to responsible gambling;
 - (iii) the Board’s website;
 - (iv) a website or page created by the operator that allows for an authorised player to choose to be excluded from engaging in restricted interactive gaming;
 - (v) the Act, any regulations made thereunder and these Rules; and
 - (vi) a link to the house rules adopted by the operator.

CHAPTER 57 - SUSPICIOUS ACTIVITIES

203. (1) For the purposes of this rule, “suspicious wagering activity” means a wager which an operator knows, or it or its directors, officers, employees or agents thereof have reasonable cause to suspect is being attempted to be placed or has been placed —

Suspicious activities.

- (a) in violation of or as part of a plan to violate or evade any applicable law or regulation; or
- (b) has no business or apparent lawful purpose or is not the sort of wager which the particular authorised player would normally be expected to place, and the operator can identify no reasonable explanation for the wager after examining the available facts, having regard to the background of the wager.

(2) An operator shall file a report with the Board in respect of any suspicious wagering activity, regardless of the amount thereof, if the operator believes it is relevant to the possible violation of any law or regulation.

(3) The report referred to in paragraph (2) shall be filed no later than seven calendar days after the initial detection by the operator of facts that may constitute a basis for filing such a report.

(4) If no suspect was identified on the date of the detection of the incident requiring the filing of the report, an operator may delay filing a report for an additional seven calendar days to identify a suspect, provided that in no case shall reporting be delayed more than fourteen calendar days after the date of initial detection of a reportable transaction.

(5) In situations involving violations that require immediate attention, the operator shall immediately notify the Board, in person or by telephone, in addition to filing a report.

(6) An operator shall maintain a copy of any report filed and the original or business record equivalent of any supporting documentation for a period of five years from the date of filing the report, which shall include supporting documentation which shall be deemed to have been filed with the report and shall be made available to the Board upon request.

(7) An operator and its directors, officers, employees or agents who file a report pursuant to these Rules shall not notify any person involved in the transaction that the transaction has been reported.

CHAPTER 58 - DISPUTES

Disputes.

204. (1) In the event that an authorised player has a dispute with an operator of restricted interactive gaming regarding restricted interactive gaming, the operator may suspend the disbursement of all disputed amounts pending the final resolution of the dispute.

(2) Disputes arising between authorised players which are resolved without Board involvement are ultimately the responsibility of the operator of proxy gaming or operator of restricted interactive gaming.

CHAPTER 59 - RECORDS

Records to be retained by operator.

205. (1) In addition to any other record required to be maintained pursuant to this Part, each operator shall maintain complete and accurate records of all matters related to proxy gaming or restricted interactive gaming activities, including without limitation the following —

- (a) the identity of all current and prior authorised players;

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- (b) all information used to register an authorised player;
 - (c) all information regarding surrogate players for proxy gaming;
 - (d) a record of any changes made to a proxy gaming or restricted interactive gaming account;
 - (e) a record and summary of all person-to-person contact, by telephone or otherwise, with an authorised player;
 - (f) all deposits and withdrawals to a proxy gaming or restricted interactive gaming account;
 - (g) a complete game history for every game played including the identification of all authorised players and surrogate players who participate in a game, the date and time a game begins and ends, the outcome of every game, the amounts wagered, and the amounts won or lost by each authorised player; and
 - (h) disputes arising between authorised players.

(2) An operator shall preserve the records required by this regulation for at least five years after they are made and such records may be stored by electronic means, but must be maintained on the premises of the operator of proxy gaming or operator of restricted interactive gaming or must otherwise be immediately available for inspection.

CHAPTER 60 - MARKETING AND ADVERTISING

206. (1) An operator may enter into agreements with marketing providers to provide players located outside of The Bahamas to such operator.

Agreements with marketing providers.

(2) Nothing in these Rules requires a marketing provider to obtain a licence in The Bahamas because of an agreement with an operator.

207. (1) An operator, including its employees or agents, shall be truthful and non- deceptive in all aspects of any proxy gaming or restricted interactive gaming advertising and promotions.

Advertising and promotions.

(2) An operator which engages in any promotion related to proxy gaming or restricted interactive gaming shall clearly and concisely explain the terms of the promotion and adhere to such terms.

CHAPTER 61 - BOARD ACCESS

Board access.

208. An operator shall not deny any Board agent, employee or Inspector access to, inspection or disclosure of any portion or aspect of the proxy gaming or restricted interactive gaming operations.

**PART 7: RULES IN RESPECT OF GAMING
DEVICES AND EQUIPMENT****CHAPTER 62 - IMPORTATION, EXPORTATION
AND TRANSPORTATION**Importation,
exportation and
transportation of
slot machines.

209. (1) Prior to importing any slot machines into The Bahamas, the purchaser shall notify the Board in writing of such shipment giving the following information —

- (a) full name and address of the person shipping the machine;
- (b) method of shipment and the name of the carrier;
- (c) full name and address of the person to whom the machines are being sent and the destination of the machines if different from such address;
- (d) quantity of machines being shipped and the serial number of each machine;
- (e) expected date and time of arrival of the machines at their destination within The Bahamas;
- (f) port of entry of the machines.

(2) Prior to exporting any slot machines out of The Bahamas, the person causing the machine to be exported shall notify the Board in writing of such shipment giving the following information —

- (a) full name and address of the person shipping the machine;
- (b) method of shipment and the name of the carrier;
- (c) full name and address of the person to whom the machines are being sent and the destination of the machines if different from such address;
- (d) port of exportation;
- (e) quantity of machines being shipped, and the serial number of each machine;
- (f) expected date and time of shipment.

(3) Prior to transporting any slot machine from one location in The Bahamas to another location, other than for purposes of repair or servicing, the person causing the machine to be transported shall notify the Board in writing of such transportation giving the following information —

- (a) the full name and address of the person transporting such machine;
- (b) method of transport and the name of the carrier;
- (c) reason for transporting the machine;
- (d) full name and address of the person to whom the machine is being sent and the destination of such machine if different from such address;
- (e) serial number of the machine being transported;
- (f) expected date and time of such transport.

PART 8: RULES REGARDING CONTRAVENTIONS AND DISCIPLINARY ACTION

CHAPTER 63 - CONTRAVENTIONS AND PENALTIES

210. (1) Subject to the provisions of section 76(2) of the Act, a licence holder shall be liable to a penalty not in excess of ten thousand dollars if it fails to comply with any provision of these Rules.

Contraventions
and penalties.

(2) Prior to imposing a penalty under this rule, the Board must give consideration to —

- (a) the nature, extent and impact of the contravention;
- (b) the regulatory risk posed by the contravention;
- (c) the previous history of compliance of the relevant licensee;
- (d) discrepancy rates and tolerance levels in respect of discrepancies or contravention;
- (e) representations submitted by the licence holder in respect of the contravention;
- (f) whether the contravention was intentionally committed, or arose as a result of ordinary human error or oversight;
- (g) whether the licence holder could reasonably have prevented the contravention; and
- (h) mitigating measures implemented or to be implemented by the licence holder.

(3) The imposition of any penalty in terms of this rule shall not preclude the Board from instituting any further or alternative disciplinary action against a licence holder.

(4) All penalties imposed in terms of this rule shall be payable within thirty days of the imposition of such penalty.

(5) If a licence holder fails to pay any penalty or part of a penalty referred to in paragraph (4) the licence holder shall in addition to such penalty pay interest on the outstanding amount of such penalty at a rate of ten percent of the outstanding amount of penalty per month or part thereof to a maximum of an amount not exceeding the outstanding amount of such penalty.

(6) The Secretary of the Board shall have the competency to impose any penalty in terms of this rule.

(7) All penalties imposed under this rule shall be —

(a) paid to the Board, in the first instance; and

(b) within seven days of the date of payment referred to in paragraph (a), be paid into the Consolidated Fund by the Secretary of the Board.

PART 9: DISPENSATION

Dispensation.

211. The Board may approve alternative criteria or procedures other than those prescribed in these Rules, if the licence holder is able to prove to the Board that, notwithstanding such criteria or procedures, there are sufficient controls in place to ensure the integrity of the operation.