

1 **Title 36 MARYLAND STATE LOTTERY AND GAMING CONTROL AGENCY**

2 **Subtitle 03 GAMING PROVISIONS**

3 **Chapter 10 Video Lottery Facility Minimum Internal Control Standards**

4 **Authority: State Government Article, §§ 9-1A-02 and 9-1A-04, Annotated Code of**
5 **Maryland**

6 **.26 Counter Check Issuance at the Cashiers' Cage.**

7 A. Subject to the requirements of this chapter, a facility operator may accept a negotiable
8 instrument in the form of a counter check from a player at the cashiers' cage to enable the player
9 to take part in gaming.

10 B. A facility operator shall develop and include in the internal controls submitted to and
11 approved by the Commission under Regulation .05 of this chapter procedures addressing the
12 issuance of a counter check at the cashiers' cage.

13 C. A facility operator's internal controls shall include:

14 (1) The use of a three-part computer-generated counter check that:

15 (a) Consists of an original, issuance, and accounting copy;

16 (b) Is initiated on receipt by a general cashier of a request for counter check document; and

17 (c) Is serially numbered and issued;

18 (2) Procedures and controls addressing the identification of a player which include:

19 (a) A requirement that a one-part request for counter check document be prepared which
20 includes:

21 (i) Amount requested;

22 (ii) If a facility operator has the capability of offering a gaming ticket as an alternative to
23 cash, an indication as to the desired form of payment; and

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- 1 (iii) Signature of the player;
- 2 (b) A requirement that a general cashier obtain from the player a valid form of unexpired
3 government-issued photographic identification;
- 4 (c) A requirement that a general cashier satisfactorily compare the:
- 5 (i) Signature of the player on the counter check request document with the signature on
6 the identification credential; and
- 7 (ii) Player's physical appearance with the photograph contained on the valid, unexpired
8 government-issued photographic identification presented by the player;
- 9 (d) A requirement that a general cashier record on the counter check request document the:
- 10 (i) Number on the player's government-issued photographic identification; and
- 11 (ii) Signature of the general cashier;
- 12 (e) An option for a general cashier who has on that same shift previously verified the
13 identity of a player by credential review in accordance with §C(2)(b) of this regulation to satisfy
14 the requirements of this regulation by recording on the counter check request document:
- 15 (i) The series number of the counter check for which the identity of the player was
16 established by credential review; and
- 17 (ii) Signature of the general cashier;
- 18 (f) An option for a facility operator who has created a signature file on a player prior to the
19 completion by the player of a request for counter check document to satisfy the requirements of
20 this regulation by having the general cashier:
- 21 (i) Confirm that the player's signature on the counter check request document matches
22 the signature in the signature file; and
- 23 (ii) Sign the counter check request document; and
- 24 (g) A requirement that a credential review in accordance with §C(2)(b) and (c) of this
25 regulation is a prerequisite to creation of a player signature file;

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1 (3) A requirement that prior to issuing a counter check a general cashier confirm with a
2 check bank cashier or through the video lottery system that the amount requested does not
3 exceed the player's credit limit;

4 (4) A requirement that all copies of a computer-generated counter check include the
5 following information:

6 (a) Name of the player;

7 (b) Name of the bank, savings and loan, or credit union on which the counter check is to be
8 drawn;

9 (c) Date and time;

10 (d) Amount of the counter check;

11 (e) Location of preparation of the counter check;

12 (f) Signature of a cashiers' cage supervisor; and

13 (g) Signature or identification code of the preparer of the counter check;

14 (5) A requirement that the back of the original copy of the counter check contain a restrictive
15 endorsement "for deposit only" to the facility operator's designated bank account;

16 (6) Procedures and controls over the counter check issuance process which require:

17 (a) A cashiers' cage supervisor to sign all copies of the counter check after confirming that
18 the counter check was prepared for the amount the player recorded on the counter check request
19 document;

20 (b) A player to sign all copies of the counter check in the presence of the same general
21 cashier who verified the player's identification and prepared the counter check;

22 (c) A general cashier to immediately exchange the counter check for:

23 (i) Cash;

24 (ii) If a facility operator has the capability, a gaming ticket; or

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1 (iii) A customer deposit account in accordance with this chapter; and

2 (d) A general cashier to distribute the copies of the counter check as follows:

3 (i) The original copy of the counter check shall be expeditiously transferred to the check
4 bank directly or to a security department employee for transportation to the cashiers' cage if the
5 counter check is issued in a satellite cage;

6 (ii) The issuance copy of the counter check shall be maintained by the general cashier to
7 serve as documentation supporting the exchange of cash, a gaming ticket, or a customer deposit
8 for the counter check; and

9 (iii) The accounting copy of the counter check shall be attached by the general cashier to
10 the counter check request document and forwarded to the accounting department;

11 (7) If utilized, procedures and controls addressing:

12 (a) Use of a signature exemplar;

13 (b) Creation of a player signature file; and

14 (c) Generation of a gaming ticket at the cashiers' cage;

15 (8) Procedures and controls addressing:

16 (a) Voided counter checks;

17 (b) The use and location of accounting drop boxes; and

18 (c) Audit procedures performed by the facility operator's accounting department at the
19 conclusion of each gaming day;

20 (9) Details which establish the ability of the facility operator's video lottery system to ensure
21 that a three-part computer-generated counter check is not susceptible to change or deletion from
22 the system after preparation; and

23 (10) Procedures utilized to issue a manual counter check which:

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1 (a) Are to be utilized only when the video lottery system is unable to generate a counter
2 check;

3 (b) Conform to the requirements of this regulation;

4 (c) Require use of a serially pre-numbered three-part counter check consisting of an
5 original, issuance, and accounting copy, residing in a book, wiz machine, or functional
6 equivalent;

7 (d) Require manual counter checks to be maintained in a secured locked cabinet in the
8 cashiers' cage; and

9 (e) Require the key to the cabinet in §C(10)(d) of this regulation to be:

10 (i) Controlled by the security department or the cage department employees responsible
11 for the control of and accounting for the unused supply of counter checks; and

12 (ii) Limited to sign out by a cashiers' cage shift manager or cashiers' cage manager.

13 **D. A facility operator may use an electronic credit system approved by the Commission to**
14 **process electronic counter check transactions.**

15
16 **(1) The facility operator may access the player's file in the electronic credit system**
17 **using a portable device or other method approved by the Commission.**

18
19 **(2) The electronic credit system shall be capable of maintaining independently, or in**
20 **conjunction with another computer system, as approved by the Commission:**

21 **(a) A digital photograph and signature of the player;**

22 **(b) Encrypted employee and player personal identification numbers;**

23 **(c) For each player account and transaction, the information required to be**
24 **recorded by §C of this regulation;**

25 **(d) A record of each electronic transaction, printable in the check bank, which**
26 **shall include at least:**

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- i. Date and time;**
- ii. Transaction type;**
- iii. Document number;**
- iv. Location;**
- v. Player name and account number; and**
- vi. Amount; and**

(e) A record of each electronic transaction for which the player has successfully entered the player’s personal identification number and digital signature in the system;

(f) A record of voided transactions and the reason for the void; and

(g) Any other information the Commission requests.

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