

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 **.27 Counter Check Issuance at a Video Lottery Terminal or Table Game.**

7 A. Subject to the limitations of this chapter, a facility operator may accept a negotiable
8 instrument in the form of a counter check from a player at a video lottery terminal or table
9 game to enable the player 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 a video lottery terminal or table game.

13 C. A facility operator's internal controls for a counter check exchanged for value chips or
14 plaques at a gaming table shall include:

15 (1) Use of a player signature file which shall:

16 (a) Be established prior to the completion by a player of a request for counter check
17 document at the table game; and

18 (b) Require an identification credential review in accordance with Regulation .26C(2) of
19 this chapter;

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

21 (a) A requirement that a floorperson satisfactorily compare the:

22 (i) Signature of the player on a form with the signature on the identification credential;
23 and

24 (ii) Player's physical appearance with the photograph contained on the valid form of
25 unexpired government-issued photographic identification presented by the player;

For May 23, 2019 Commission Meeting.

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- 1 (b) A requirement that a floorperson record on the form the:
- 2 (i) Number on the player's government-issued photographic identification; and
- 3 (ii) Signature of the floorperson;
- 4 (c) A requirement that a floorperson or above shall:
- 5 (i) Obtain the player's signature, on a form, which shall be compared to the signature
- 6 contained within a player signature file;
- 7 (ii) Sign the form indicating that the signature of the player on the form matches the
- 8 signature in the player signature file; and
- 9 (iii) Attach the form to the accounting copy of the counter check exchanged by the
- 10 player prior to forwarding it to the accounting department;
- 11 (d) A requirement that after the player's identity has been verified by the floorperson or
- 12 above, staff shall:
- 13 (i) Ensure that subsequent verification of the player's identity during the same shift and
- 14 in the same gaming pit is satisfied by the employee who performed the initial
- 15 verification signing a form attesting to the player's identity before each subsequent
- 16 counter check is exchanged;
- 17 (ii) Ensure that the form includes the player's name and the serial number of the initial
- 18 counter check exchanged by the player; and
- 19 (iii) Ensure that the form attaches to the accounting copy of the subsequent counter
- 20 check prior to forwarding the accounting copy to the accounting department; and
- 21 (e) A requirement that a floorperson or above attest to the identity of the player which
- 22 includes:
- 23 (i) The floorperson or above record the floorperson's or above's gaming license number
- 24 and sign a form or the counter check attesting to the player's identity; and
- 25 (ii) If used, the form is attached to the accounting copy of the counter check exchanged
- 26 by the player prior to forwarding it to the accounting department;

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- 1 (3) A requirement that prior to issuing a counter check, the floorperson or above determines
2 the player's remaining credit limit from the cage or casino management system;
- 3 (4) A requirement that all copies of a computer-generated counter check include the
4 following information:
- 5 (a) Name of the player;
 - 6 (b) Name of the bank, savings and loan, or credit union on which the counter check is to be
7 drawn;
 - 8 (c) Date and time;
 - 9 (d) Amount of the counter check;
 - 10 (e) Location of preparation of the counter check;
 - 11 (f) Signature of a gaming operations department supervisor; and
 - 12 (g) Signature or identification code of the preparer of the counter check;
- 13 (5) A requirement that the floorperson or above present the original and all duplicate copies
14 of the counter check to the player for signature;
- 15 (6) A requirement that the back of the original copy of the counter check contain a restrictive
16 endorsement "for deposit only" to the facility operator's designated bank account after being
17 transferred to the check bank; and
- 18 (7) Procedures and controls over the counter check issuance process which require:
- 19 (a) A floorperson to receive the signed counter check directly from the player;
 - 20 (b) The issuance copy of the counter check to be immediately given to the dealer or
21 boxperson to be exchanged for value chips or gaming plaques;
 - 22 (c) The issuance copy of the counter check to be deposited by the dealer or boxperson in
23 the drop box;

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1 (d) The original copy of the counter check to be expeditiously transported to the cage
2 where the original copy shall be maintained and controlled by the cage cashier designated
3 to act as the check bank; and

4 (e) The accounting copy of the counter check to be maintained and controlled by the pit
5 clerk or above until forwarded to the accounting department.

6 D. A facility operator's internal controls for a counter check exchanged for cash or gaming
7 ticket directly at a video lottery terminal shall include:

8 (1) Use of a player signature file which shall:

9 (a) Be established prior to the completion by a player of a request for counter check
10 document at the video lottery terminal; and

11 (b) Require an identification credential review in accordance with Regulation .26C(2) of
12 this chapter;

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

14 (a) A slot attendant to obtain the amount of the requested counter check and the player's
15 signature on a one-part counter check request form and transport the counter check request
16 form directly to the cage cashier; and

17 (b) A cage cashier to compare the signature on the one-part counter check request form to
18 the signature contained within a player signature file;

19 (3) Procedures and controls over the counter check issuance process which require:

20 (a) A general cashier to:

21 (i) Prepare the counter check in accordance with this regulation;

22 (ii) Summon to the cashiers' cage a verifying employee from the security department or
23 gaming operations department provided the verifying employee is not the gaming
24 operations department supervisor who transported the counter check request document
25 to the cashiers' cage;

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- 1 (iii) Present the counter check request document, all copies of the counter check and the
2 cash, gaming ticket, chip, or plaque to the gaming operations department supervisor and
3 the verifying employee;
- 4 (iv) Obtain the signature of the gaming operations department supervisor on all copies of
5 the counter check confirming that the amount of the counter check agrees with the
6 amount on the counter check request document;
- 7 (v) Obtain the signature of the verifying employee on the counter check request
8 document confirming that the amount of cash, gaming ticket, chip, or plaque to be
9 transported to the player agrees with the amount on the counter check and on the counter
10 check request document; and
- 11 (vi) Release to the verifying employee the counter check request document, all copies of
12 the counter check, and the cash, gaming ticket, chip, or plaque for transportation, in the
13 presence of the gaming operations department supervisor who transported the counter
14 check request to the cashiers' cage, to the player;
- 15 (b) A verifying employee to present all copies of the counter check to the player for
16 signature in the presence of the gaming operations department supervisor;
- 17 (c) A gaming operations department supervisor to compare the player's signature on the
18 counter check to the signature on the counter check request document;
- 19 (d) A verifying employee to immediately exchange the counter check for:
- 20 (i) Cash; or
- 21 (ii) If a facility operator has the capability, a gaming ticket;
- 22 (e) A gaming operations department supervisor to:
- 23 (i) Sign the back of the accounting copy confirming the exchange with the player; and
- 24 (ii) Drop the accounting copy of the counter check into an accounting drop box for
25 forwarding to accounting;
- 26 (f) A verifying employee to immediately return the original and issuance copies of the
27 counter check to a general cashier; and

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- 1 (g) A general cashier to:
- 2 (i) Expeditiously transfer the original copy of the counter check to the check bank
- 3 directly or to a security department employee for transportation to the cashiers' cage if
- 4 the counter check is issued in a satellite cage; and
- 5 (ii) Attach the counter check request document to the accounting copy of the counter
- 6 check to serve as documentation supporting the exchange of cash, gaming ticket, for the
- 7 counter check.

8 **E. A facility operator may use an electronic credit system approved by the Commission to**

9 **process electronic counter check transactions.**

10

11 **(1) The facility operator may access the player's file in the electronic credit system using a**

12 **portable device or other approved method.**

13

14 **(2) The electronic credit system shall be capable of maintaining independently, or in**

15 **conjunction with another computer system, as approved by the Commission:**

- 16 **(a) A digital photograph and signature of the player ;**
- 17 **(b) Encrypted employee and player personal identification numbers;**
- 18 **(c) For each player account and transaction, the information required to be recorded**
- 19 **by §§C and D of this regulation;**
- 20 **(d) A record of each electronic transaction, printable in the check bank, which shall**
- 21 **include at least:**
- 22 **i. Date and time;**
- 23 **ii. Transaction type;**
- 24 **iii. Document number;**
- 25 **iv. Location;**
- 26 **v. Player name and account number; and**
- 27 **vi. Amount;**

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- 1 **(e) A record of each electronic transaction for which the player has successfully**
2 **entered the player's personal identification number and digital signature in the system;**
3 **(f) A record of voided transactions and the reason for the void; and**
4 **(g) Any other information the Commission requests.**
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