

1 Title 36 STATE LOTTERY AND
2 GAMING CONTROL AGENCY

3
4 Subtitle 03 GAMING PROVISIONS

5
6 Chapter .10 Video Lottery Facility Minimum Internal Control Standards

7
8 Authority: State Government Article, § 9-1A-04(d), Annotated Code of Maryland

9
10 .26 Counter Check Issuance at the Cashiers' Cage.

11
12 A. Subject to the requirements of this chapter, a facility operator may accept a negotiable
13 instrument in the form of a counter check from a player at the cashiers' cage to enable the player
14 to take part in gaming.

15
16 B. A facility operator shall develop and include in the internal controls submitted to and
17 approved by the Commission under Regulation .05 of this chapter procedures addressing the
18 issuance of a counter check at the cashiers' cage.

19
20 C. A facility operator's internal controls shall include:

21
22 (1) The use of a four-part computer-generated counter check that:

23
24 (a) Consists of an original, redemption, issuance, and accounting copy;

25
26 (b) Is initiated on receipt by a general cashier of a request for counter check
27 document; and

28
29 (c) Is serially numbered and issued;

30
31 (2) Procedures and controls addressing the identification of a player which include:

32
33 (a) A requirement that a ~~player complete~~ a one-part request for counter check
34 document **be prepared** which includes:

35
36 (i) Amount requested;

For September 25, 2014 Commission.

The proposed amendments to § C(2) would require general cashiers to review one form of identification to verify a player's identity for issuance of a counter check. The proposed amendments to § C(10) would limit access to the key to the cabinet used to store manual counter checks to the security department and cage department.

Updated Sept. 15, 2014

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

(iii) Signature of the player;

(b) A requirement that a general cashier obtain from the player ~~two form of identification, at least one of which is a valid~~ **form of** unexpired government-issued photographic identification;

(c) A requirement that a general cashier satisfactorily compare the:

(i) Signature of the player on the counter check request document with the ~~signatures~~ **signature** on ~~the~~ **the** identification ~~credentials~~ **credential**; and

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

(d) A requirement that a general cashier record on the counter check request document the:

(i) Number on the player's government-issued photographic identification;

~~(ii) Type and number of the second identification credential presented and reviewed; and~~

⊕ **(ii)** Signature of the general cashier;

(e) An option for a general cashier who has on that same shift previously verified the identity of a player by credential review in accordance with §C(2)(b) of this regulation to satisfy the requirements of this regulation by recording on the counter check request document:

(i) The series number of the counter check for which the identity of the player was established by credential review; and

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1
2 (ii) Signature of the general cashier;
3

4 (f) An option for a facility operator who has created a signature file on a player
5 prior to the completion by the player of a request for counter check document to
6 satisfy the requirements of this regulation by having the general cashier:
7

8 (i) Confirm that the player's signature on the counter check request
9 document matches the signature in the signature file; and
10

11 (ii) Sign the counter check request document; and
12

13 (g) A requirement that a credential review in accordance with §C(2)(b) and (c) of
14 this regulation is a prerequisite to creation of a player signature file;
15

16 (3) A requirement that prior to issuing a counter check a general cashier confirm with a
17 check bank cashier or through the video lottery system that the amount requested does
18 not exceed the player's credit limit;
19

20 (4) A requirement that all copies of a computer-generated counter check include the
21 following information:
22

23 (a) Name of the player;
24

25 (b) Name of the bank, savings and loan, or credit union on which the counter
26 check is to be drawn;
27

28 (c) Date and time;
29

30 (d) Amount of the counter check;
31

32 (e) Location of preparation of the counter check;
33

34 (f) Signature of a cashiers' cage supervisor; and
35

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

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1
2 (5) A requirement that the back of the original copy of the counter check contain a
3 restrictive endorsement "for deposit only" to the facility operator's designated bank
4 account;

5
6 (6) Procedures and controls over the counter check issuance process which require:

7
8 (a) A cashiers' cage supervisor to sign all copies of the counter check after
9 confirming that the counter check was prepared for the amount the player
10 recorded on the counter check request document;

11
12 (b) A player to sign all copies of the counter check in the presence of the same
13 general cashier who verified the player's identification and prepared the counter
14 check;

15
16 (c) A general cashier to immediately exchange the counter check for:

17
18 (i) Cash;

19
20 (ii) If a facility operator has the capability, a gaming ticket; or

21
22 (iii) A customer deposit account in accordance with this chapter; and

23
24 (d) A general cashier to distribute the copies of the counter check as follows:

25
26 (i) The original and redemption copies of the counter check shall be
27 expeditiously transferred to the check bank directly or to a security
28 department employee for transportation to the cashiers' cage if the counter
29 check is issued in a satellite cage;

30
31 (ii) The issuance copy of the counter check shall be maintained by the
32 general cashier to serve as documentation supporting the exchange of
33 cash, a gaming ticket, or a customer deposit for the counter check; and
34

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Updated Sept. 15, 2014

1 (iii) The accounting copy of the counter check shall be attached by the general cashier to the
2 counter check request document and ~~deposited into a locked accounting box for forwarding~~
3 **forwarded** to the accounting department;

4
5 (7) If utilized, procedures and controls addressing:

- 6 (a) Use of a signature exemplar;
7
8 (b) Creation of a player signature file; and
9
10 (c) Generation of a gaming ticket at the cashiers' cage;
11
12

13 (8) Procedures and controls addressing:

- 14 (a) Voided counter checks;
15
16 (b) The use and location of accounting drop boxes; and
17
18 (c) Audit procedures performed by the facility operator's accounting department
19 at the conclusion of each gaming day;
20
21

22 (9) Details which establish the ability of the facility operator's video lottery system to
23 ensure that a four-part computer-generated counter check is not susceptible to change or
24 deletion from the system after preparation; and
25

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

- 27 (a) Are to be utilized only when the video lottery system is unable to generate a
28 counter check;
29
30 (b) Conform to the requirements of this regulation;
31
32 (c) Require use of a serially pre-numbered five-part counter check consisting of
33 an original, redemption, issuance, accounting, and acknowledge copy residing in a
34 book, wiz machine, or functional equivalent;
35

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1
2 (d) Require manual counter checks to be maintained in a secured locked cabinet
3 in the cashiers' cage; and
4

5 (e) Require the key to the cabinet in §C(10)(d) of this regulation to be:
6

7 (i) Controlled by the security department or the ~~accounting~~**cage**
8 department **employees responsible for the control of and accounting**
9 **for the unused supply of Counter Checks;** and
10

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

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