

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-04(d), Annotated Code of Maryland**

5   **.27 Counter Check Issuance at a Video Lottery Terminal or Table Game.**

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

9   B. A facility operator shall develop and include in the internal controls submitted to and  
10   approved by the Commission under Regulation .05 of this chapter, procedures addressing the  
11   issuance of a counter check at a video lottery terminal or table game.

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

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

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

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

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

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

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

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

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For June 29, 2017 Commission.

The proposed amendment to § D would change the requirement for counter check issuance at a VLT from a two-part form to a one-part form. Other amendments would bring the regulation into compliance with the *Style Manual for Maryland Regulations*.

*Revised June 2, 2017*

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

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- 1 (i) The floorperson or above record the floorperson's or above's gaming  
2 license number and sign a form or the counter check attesting to the  
3 player's identity; and
- 4 (ii) If used, the form is attached to the accounting copy of the counter  
5 check exchanged by the player prior to forwarding it to the accounting  
6 department;
- 7 (3) A requirement that prior to issuing a counter check, the floorperson or above  
8 determines the player's remaining credit limit from the cage or casino management  
9 system;
- 10 (4) A requirement that all copies of a computer-generated counter check include the  
11 following information:
- 12 (a) Name of the player;
- 13 (b) Name of the bank, savings and loan, or credit union on which the counter  
14 check is to be drawn;
- 15 (c) Date and time;
- 16 (d) Amount of the counter check;
- 17 (e) Location of preparation of the counter check;
- 18 (f) Signature of a gaming operations department supervisor; and
- 19 (g) Signature or identification code of the preparer of the counter check;
- 20 (5) A requirement that the floorperson or above present the original and all duplicate  
21 copies of the counter check to the player for signature;
- 22 (6) A requirement that the back of the original copy of the counter check contain a  
23 restrictive endorsement "for deposit only" to the facility operator's designated bank  
24 account after being transferred to the check bank; and
- 25 (7) Procedures and controls over the counter check issuance process which require:

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- 1 (a) A floorperson to receive the signed counter check directly from the player;
- 2 (b) The issuance copy of the counter check to be immediately given to the dealer  
3 or boxperson to be exchanged for value chips or gaming plaques;
- 4 (c) The issuance copy of the counter check to be deposited by the dealer or  
5 boxperson in the drop box;
- 6 (d) The original and redemption copies of the counter check to be expeditiously  
7 transported to the cage where the original and redemption copies shall be  
8 maintained and controlled by the cage cashier designated to act as the check bank;  
9 and
- 10 (e) The accounting copy of the counter check to be maintained and controlled by  
11 the pit clerk or above until forwarded to the accounting department.

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

- 14 (1) Use of a player signature file which shall:
- 15 (a) Be established prior to the completion by a player of a request for counter  
16 check document at the video lottery terminal; and
- 17 (b) Require an identification credential review in accordance with Regulation  
18 .26C(2) of this chapter;
- 19 (2) Procedures and controls addressing the identification of the player which include:
- 20 (a) A slot attendant to obtain the amount of the requested ~~Counter Check~~ **counter**  
21 **check** and the player's signature on a ~~two-one-part Counter Check Request Form~~  
22 **counter check request form** and transport the ~~Counter Check Request Form~~  
23 **counter check request form** directly to the cage cashier; and
- 24 (b) A cage cashier to compare the signature on the ~~two-one-part~~ counter check  
25 request form to the signature contained within a player signature file;
- 26 (3) Procedures and controls over the counter check issuance process which require:

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1 (a) A general cashier to:

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

3 (ii) Summon to the cashiers' cage a verifying employee from the security  
4 department or gaming operations department provided the verifying  
5 employee is not the gaming operations department supervisor who  
6 transported the counter check request document to the cashiers' cage;

7 (iii) Present the ~~original and duplicate copy of the~~ counter check request  
8 document, all copies of the counter check and the cash, gaming ticket,  
9 chip, or plaque to the gaming operations department supervisor and the  
10 verifying employee;

11 (iv) Obtain the signature of the gaming operations department supervisor  
12 on all copies of the counter check confirming that the amount of the  
13 counter check agrees with the amount on the counter check request  
14 document;

15 (v) Obtain the signature of the verifying employee on the ~~original and~~  
16 ~~duplicate copy of the request for counter check~~ **request** document  
17 confirming that the amount of cash, gaming ticket, chip, or plaque to be  
18 transported to the player agrees with the amount on the counter check and  
19 on the counter check request document; **and**

20 (vi) ~~Retain the duplicate copy of the request for counter check document;~~  
21 ~~and~~

22 (vii) Release to the verifying employee the ~~original of the request for~~  
23 counter check **request** document, all copies of the counter check, and the  
24 cash, gaming ticket, chip, or plaque for transportation, in the presence of  
25 the gaming operations department supervisor who transported the counter  
26 check request to the cashiers' cage, to the player;

27 (b) A verifying employee to present all copies of the counter check to the player  
28 for signature in the presence of the gaming operations department supervisor;

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1 (c) A gaming operations department supervisor to compare the player's signature  
2 on the counter check to the signature on the ~~request for counter check~~ **request**  
3 document;

4 (d) A verifying employee to immediately exchange the counter check for:

5 (i) Cash; or

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

7 (e) A gaming operations department supervisor to:

8 (i) Sign the back of the accounting copy confirming the exchange with the  
9 player; and

10 (ii) Drop the accounting copy of the counter check ~~and the original request~~  
11 ~~for counter check document~~ into an accounting drop box for forwarding to  
12 accounting;

13 (f) A verifying employee to immediately return the original, redemption, and  
14 issuance copies of the counter check to a general cashier; and

15 (g) A general cashier to:

16 (i) Expeditiously transfer the original and redemption copies of the counter  
17 check to the check bank directly or to a security department employee for  
18 transportation to the cashiers' cage if the counter check is issued in a  
19 satellite cage; and

20 (ii) Attach the ~~duplicate copy of the request for counter check~~ **request**  
21 document to the accounting copy of the counter check to serve as  
22 documentation supporting the exchange of cash, gaming ticket, for the  
23 counter check.

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