

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

11
12 A. Subject to the limitations of this chapter, a facility operator may accept a negotiable
13 instrument in the form of a counter check from a player at a video lottery terminal or table game
14 to enable the player 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 a video lottery terminal or table game.

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

21
22 ~~(1) Use of a player signature file which shall:~~

23
24 ~~(a) Be established prior to the completion by a player of a request for counter~~
25 ~~check document at the video lottery terminal; and~~

26
27 ~~(b) Require an identification credential review in accordance with Regulation~~
28 ~~.26C(2) of this chapter;~~

29
30 ~~(2) Procedures and controls addressing the identification of the player which include:~~

31
32 ~~(a) A requirement that a player complete a two-part request for counter check~~
33 ~~document at the video lottery terminal in the presence of a gaming operations~~
34 ~~department supervisor which includes:~~

35
36 ~~(i) Amount requested;~~

37

For September 25, 2014 Commission meeting.

The proposed regulations would clarify existing requirements for issuing counter checks at table game or video lottery terminal and make them consistent with surrounding jurisdictions.

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

3
4 (iii) Signature of the player;

5
6 (b) A requirement that a gaming operations department supervisor transport both
7 copies of the request for counter check document to a general cashier; and

8
9 (c) A requirement that a general cashier;

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

13
14 (ii) Sign the counter check request document;

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 (a) Name of the Player;

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

25 (c) Date and time;

26 (d) Amount of the counter check;

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

28 (f) Signature of a gaming operations department supervisor; and

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

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37

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

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

7 ~~(a) A general cashier to:~~
8

9 ~~(i) Prepare the counter check in accordance with this regulation;~~
10

11 ~~(ii) Summon to the cashiers' cage a verifying employee from the security~~
12 ~~department or gaming operations department provided the verifying~~
13 ~~employee is not the gaming operations department supervisor who~~
14 ~~transported the counter check request document to the cashiers' cage;~~
15

16 ~~(iii) Present the original and duplicate copy of the counter check request~~
17 ~~document, all copies of the counter check and the cash, gaming ticket,~~
18 ~~chip, or plaque to the gaming operations department supervisor and the~~
19 ~~verifying employee;~~
20

21 ~~(iv) Obtain the signature of the gaming operations department supervisor~~
22 ~~on all copies of the counter check confirming that the amount of the~~
23 ~~counter check agrees with the amount on the counter check request~~
24 ~~document;~~
25

26 ~~(v) Obtain the signature of the verifying employee on the original and~~
27 ~~duplicate copy of the request for counter check document confirming that~~
28 ~~the amount of cash, gaming ticket, chip, or plaque to be transported to the~~
29 ~~player agrees with the amount on the counter check and on the counter~~
30 ~~check request document;~~
31

32 ~~(vi) Retain the duplicate copy of the request for counter check document;~~
33 ~~and~~
34

35 ~~(vii) Release to the verifying employee the original of the request for~~
36 ~~counter check document, all copies of the counter check, and the cash,~~
37 ~~gaming ticket, chip, or plaque for transportation, in the presence of the~~

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gaming operations department supervisor who transported the counter check request to the cashiers' cage, to the player;

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

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

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

(i) Cash;

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

(iii) Chip; or

(iv) Plaque;

(e) A gaming operations department supervisor to:

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

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

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

(g) A general cashier to:

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

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1 ~~(ii) Attach the duplicate copy of the request for counter check document to the accounting copy~~
2 ~~of the counter check to serve as documentation supporting the exchange of cash, gaming ticket,~~
3 ~~chip, or plaque for the counter check.~~
4

5 **C. A facility operator's internal controls for a counter check exchanged for value chips or**
6 **plaques at a gaming table shall include:**
7

8 **(1) Use of a player signature file which shall:**
9

10 **(a) Be established prior to the completion by a player of a request for counter**
11 **check document at the table game; and**
12

13 **(b) Require an identification credential review in accordance with Regulation**
14 **.26C(2) of this chapter;**
15

16 **(2) Procedures and controls addressing the identification of the player which**
17 **include:**
18

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

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

24 **(ii) Player's physical appearance with the photograph contained on**
25 **the valid, unexpired government-issued photographic identification**
26 **presented by the player;**
27

28 **(b) A requirement that a floorperson record on the form the:**
29

30 **(i) Number on the player's government-issued photographic**
31 **identification; and**
32

33 **(ii) Signature of the floorperson;**
34

35 **(c) A requirement that a floorperson or above shall:**
36

37 **(i) Obtain the player's signature, on a form, which shall be compared**
38 **to the signature contained within a patron signature file;**

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1
2 (ii) The floorperson or above shall sign the form indicating that the
3 signature of the player on the form matches the signature in the
4 player signature file.

5
6 (iii) Attach the form to the accounting copy of the counter check
7 exchanged by the player prior to forwarding it to the accounting
8 department.

9
10 (d) After the player's identity has been verified by the floorperson or above:

11
12 (i) The requirements for subsequent verification of the player's
13 identity during the same shift and in the same gaming pit may be
14 satisfied by the employee who performed the initial verification
15 signing a form attesting to the player's identity before each
16 subsequent counter check is exchanged;

17
18 (ii) The form must include the player's name and the serial number
19 of the initial counter check exchanged by the patron; and

20
21 (iii) The form shall be attached to the accounting copy of the
22 subsequent counter check prior to forwarding the accounting copy to
23 the accounting department.

24
25 (e) Obtain the attestation of a floorperson or above as to the identity of the
26 player which includes:

27
28 (i) The floorperson or above shall record the floorperson's or above's
29 gaming license number and sign a form or the counter check attesting
30 to the player's identity;

31
32 (ii) If used, the form shall be attached to the accounting copy of the
33 counter check exchanged by the player prior to forwarding it to the
34 accounting department.

35
36 (3) A requirement that prior to issuing a counter check the floorperson or above
37 determines the player's remaining credit limit from the cage or casino management
38 system.

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Updated Sept. 15, 2014

1
2 **(4) A requirement that all copies of a computer-generated counter check include**
3 **the following information:**
4

5 **(a) Name of the player;**
6

7 **(b) Name of the bank, savings and loan, or credit union on which the counter**
8 **check is to be drawn;**
9

10 **(c) Date and time;**
11

12 **(d) Amount of the counter check;**
13

14 **(e) Location of preparation of the counter check;**
15

16 **(f) Signature of a gaming operations department supervisor; and**
17

18 **(g) Signature or identification code of the preparer of the counter check;**
19

20 **(5) A requirement that the floorperson or above present the original and all**
21 **duplicate copies of the counter check to the player for signature.**
22

23 **(6) A requirement that the back of the original copy of the counter check contain a**
24 **restrictive endorsement "for deposit only" to the facility operator's designated bank**
25 **account after being transferred to the check bank; and**
26

27 **(7) Procedures and controls over the counter check issuance process which require:**
28

29 **(a) A floorperson to receive the signed counter check directly from the**
30 **patron;**
31

32 **(b) The issuance copy of the counter check shall then be immediately given to**
33 **the dealer or boxperson to be exchanged for value chips or gaming plaques**
34

35 **(c) The issuance copy of the counter check shall be deposited by the dealer**
36 **or boxperson in the drop box.**
37

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1 (d) The original, redemption and, if applicable, the acknowledgement copies
2 of the counter check shall be expeditiously transported to the cage where the
3 original and redemption copies shall be maintained and controlled by the
4 cage cashier designated to act as the check bank.

5
6 (e) The accounting copy of the counter check shall be maintained and
7 controlled by the pit clerk or above until forwarded to the accounting
8 department.
9

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

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

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

18 (b) Require an identification credential review in accordance with Regulation
19 .26C(2) of this chapter;
20

21 (2) Procedures and controls addressing the identification of the player which
22 include:
23

24 (a) A slot attendant shall obtain the amount of the requested Counter Check
25 and the player's signature on a two-part Counter Check Request Form and
26 transport the Counter Check Request Form directly to the cage cashier;
27

28 (b) The cage cashier shall compare the signature on the two-part counter
29 check request form to the signature contained within a player signature file;
30

31 (3) Procedures and controls over the counter check issuance process which require:
32

33 (a) A general cashier to:
34

35 (i) Prepare the counter check in accordance with this regulation;
36

37 (ii) Summon to the cashiers' cage a verifying employee from the
38 security department or gaming operations department provided the

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Updated Sept. 15, 2014

1 verifying employee is not the gaming operations department
2 supervisor who transported the counter check request document to
3 the cashiers' cage;

4
5 (iii) Present the original and duplicate copy of the counter check
6 request document, all copies of the counter check and the cash,
7 gaming ticket, chip, or plaque to the gaming operations department
8 supervisor and the verifying employee;

9
10 (iv) Obtain the signature of the gaming operations department
11 supervisor on all copies of the counter check confirming that the
12 amount of the counter check agrees with the amount on the counter
13 check request document;

14
15 (v) Obtain the signature of the verifying employee on the original and
16 duplicate copy of the request for counter check document confirming
17 that the amount of cash, gaming ticket, chip, or plaque to be
18 transported to the player agrees with the amount on the counter
19 check and on the counter check request document;

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

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

29
30 (b) A verifying employee to present all copies of the counter check to the
31 player for signature in the presence of the gaming operations department
32 supervisor;

33
34 (c) A gaming operations department supervisor to compare the player's
35 signature on the counter check to the signature on the request for counter
36 check document;

37
38 (d) A verifying employee to immediately exchange the counter check for:

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1
2 (i) Cash; or

3
4 (ii) If a facility operator has the capability, a gaming ticket;

5
6 (e) A gaming operations department supervisor to:

7
8 (i) Sign the back of the accounting copy confirming the exchange with
9 the player; and

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

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

17
18 (g) A general cashier to:

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

24
25 (ii) Attach the duplicate copy of the request for counter check
26 document to the accounting copy of the counter check to serve as
27 documentation supporting the exchange of cash, gaming ticket, for the
28 counter check.
29
30

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