

**APPENDIX F(2)**

**DEFINITIONS, OPERATIONS STANDARDS, SPECIFICATIONS AND  
REGULATIONS GOVERNING JACKPOT POKER**

**Revised March 9, 2007**

**APPENDIX F(2)**  
**DEFINITIONS, OPERATIONS STANDARDS, SPECIFICATIONS AND**  
**REGULATIONS GOVERNING JACKPOT POKER**

**TABLE OF CONTENTS**

I.	DEFINITIONS .....	4
II.	PROMOTIONAL AWARD POKER GAME REQUIREMENTS .....	6
A.	Types of Promotional Award Poker Games .....	6
B.	Number of Card Game Tables .....	7
C.	Licensing and Certification of Card Room Employees .....	7
D.	Access to Records and Reports.....	7
E.	Inspection of Card Tables, Cards and Play .....	7
F.	Adoption of Rules.....	8
G.	Currency Transaction Reporting .....	9
H.	Credit .....	9
I.	Promotional Award Poker Game Training.....	10
J.	Notice of Installation.....	10
K.	Notice of Removal.....	11
L.	Equipment Control .....	11
M.	Card Controls .....	11
N.	Supervision and Card Room Area.....	12
O.	Prohibited Acts .....	13
P.	Cards - Inspection and Presentation .....	14
Q.	Cards - Removal from Use.....	14
R.	Promotional Award Poker Game Dealer Tips .....	14
S.	Chips and Tokens .....	15
T.	Posting and Furnishing of Rules .....	17
U.	Proposition Players .....	17
V.	Restrictions of Other Players .....	18
W.	Rake-Off and Time Buy-In .....	18
X.	Table Stakes .....	19
Y.	Drop Boxes .....	19
Z.	Card Room Banks (or Cage).....	19
AA.	Card Table Banks .....	20
BB.	Game Drop and Count Standards.....	20
CC.	Jackpot Promotional Fund Rules .....	20
DD.	Jackpot Promotional Fund Signs.....	21
EE.	Notification of Jackpot Promotional Fund Awards.....	22
FF.	Jackpot Promotional Fund Log .....	22
GG.	Unclaimed Jackpots .....	22
HH.	Quarterly Report.....	23

II.	Promotional Award Poker Game Tournaments.....	23
JJ.	Entry Fee and Player Buy-In .....	24
III.	HOUSE BANKED POKER GAME REQUIREMENTS.....	24
A.	Types of House Banked Poker Games .....	24
B.	Number of Card Game Tables .....	25
C.	Licensing and Certification of House Banked Poker Game Employees.....	25
D.	Access to Records and Reports.....	25
E.	Inspection of Card Tables, Cards and Play .....	25
F.	Adoption of Rules.....	25
G.	Currency Transaction Reporting .....	27
H.	Credit .....	27
I.	House Banked Poker Game Training.....	27
J.	Notice of Installation.....	28
K.	Notice of Removal.....	29
L.	Equipment Control .....	29
M.	Card Controls .....	29
N.	Supervision and Table Game Area .....	30
O.	Prohibited Acts.....	31
P.	Cards - Inspection and Presentation .....	32
Q.	Cards - Removal from Use.....	32
R.	House Banked Poker Game Dealer Tips .....	32
S.	Chips and Tokens .....	33
T.	Posting and Furnishing of Rules .....	34
U.	House Banked Poker Game Table—Physical Characteristics .....	35
V.	Drop Boxes .....	36
W.	Playing Cards.....	36
X.	Shoes and Shuffling Devices .....	37
Y.	Wagers.....	37
Z.	Wagering Rules.....	38
AA.	Handling of Wagers.....	39
BB.	Players Wagering on More than One Hand .....	39
CC.	Game Drop and Count Standards.....	39
DD.	House Banked Poker Game Tournaments .....	39
EE.	Entry Fee and Player Buy-In .....	40

## APPENDIX F(2)

### DEFINITIONS, OPERATIONS STANDARDS, SPECIFICATIONS AND REGULATIONS GOVERNING JACKPOT POKER

Jackpot poker authorized pursuant to the Compact, including all approved variations thereof, shall be permitted and conducted, at a minimum, according to the provisions set forth in the Compact and its appendices. In addition, the Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish and the Gaming Facility Operator shall comply with any additional standards, procedures and/or rules deemed appropriate to ensure the integrity, fairness and security of play.

#### **I. DEFINITIONS.**

In addition to definitions set forth in the Compact and its appendices, the following definitions shall apply to the rules of jackpot poker, including all approved variations, conducted by the Gaming Facility Operator:

- (1) "Bet" means a player's wager to the pot on any betting round.
- (2) "Buy-in" means a purchase of chips by a player prior to play.
- (3) "Card room supervisor or management employee" means, for the purpose of this Appendix, any employee assigned duties and responsibilities that include:
  - (a) directing promotional award poker game dealers in the performance of their duties;
  - (b) supervising promotional award poker game activity, dealing procedures and compliance with internal controls;
  - (c) initially resolving player disputes arising from table play;
  - (d) making decisions regarding the seating of players; or
  - (e) making decisions regarding work scheduling of card room employees.
- (4) "Card table bank" means an imprest inventory of cash, chips and tokens physically located in the table tray on the card table and controlled by and accountable through the card room bank as provided in Section II of this Appendix. Card table banks are only to be used for the purpose of making change, handling player buy-ins, or storing dealer tips in accordance with the rules of the promotional award poker games and this Appendix. House banked poker games are not required to utilize card table banks.
- (5) "Deal" means the distribution of playing cards among the players and, if applicable, the dealer.
- (6) "Dealer" means an employee of the Gaming Facility Operator who is responsible for dealing cards in jackpot poker.

- (7) "Hand" means one game in a series, one deal, the cards held by a player, or the best five cards of a player's holding or including any community cards.
- (8) "House banked poker game" means a variation of jackpot poker which is a table game that utilizes cards and the ranking of traditional poker hands (which can include more or less than 5 cards) to determine game outcome, which is banked by the Gaming Facility Operator whereby the Gaming Facility Operator pays all winning bets and collects from all losing bets, and for which rules and procedures have been approved under Section III(F) of this Appendix.
- (9) "House banked poker game supervisor or management employee" means, for the purpose of this Appendix, any employee assigned duties and responsibilities that include:
  - (a) directing house banked poker game dealers in the performance of their duties;
  - (b) supervising house banked poker game activity, dealing procedures and compliance with internal controls;
  - (c) initially resolving player disputes arising from table play;
  - (d) making decisions regarding the seating of players; or
  - (e) making decisions regarding work scheduling of house banked poker game employees.
- (10) "Jackpot poker" means promotional award poker games and house banked poker games.
- (11) "Jackpot promotional award" means a special award from the jackpot promotional fund paid following the occurrence of a pre-determined event to qualifying individuals playing promotional award poker games, as specified by the posted jackpot promotional fund rules.
- (12) "Jackpot promotional fund" means a fund to which the players or Gaming Facility Operator contribute for the benefit of the players. Funds are distributed to qualifying promotional award poker game players based on predetermined events.
- (13) "Jackpot rake" means a separate rake taken to build the jackpot promotional fund. A standard rake may be taken in addition to the jackpot rake.
- (14) "Layout" or "table layout" means the felt, cloth, or other material covering the playing surface of a table.
- (15) "Pot" means a location on the table or the total amount anted and bet by players during a hand which is awarded to the winning player or players.
- (16) "Promotional award poker game" means a variation of jackpot poker that utilizes cards and the ranking of traditional poker hands (which can include

more or less than 5 cards), that includes a jackpot promotional award, that is not house banked except for the jackpot promotional fund, and for which rules and procedures have been approved under Section II(F) of this Appendix.

- (17) "Proposition player (also referred to as a public relations player)" means a player who receives a salary, wage, or fixed sum from the Gaming Facility Operator for playing in short games (those with empty seats), starting new games, or filling in where needed. Although a proposition player works for the Gaming Facility Operator, he plays his own money, retains his winnings and absorbs his losses (thus differing from a stakes player).
- (18) "Shill" means an employee financed by the Gaming Facility Operator and acting as a player for the purpose of starting or maintaining a sufficient number of players in a game.
- (19) "Shoe" means a dealing device that has a compartment in which deck(s) of cards are stacked and which permits cards to be dealt in accordance with the rules of the game.
- (20) "Shuffling device" means an electro-mechanical device which continuously and/or automatically reshuffles the cards and which may randomly insert previously dealt and discarded cards back into the card stack, and which may be integrated with a shoe.
- (21) "Stakes player" means a player financed by the Gaming Facility Operator to play for the purpose of starting a game that would otherwise be short, or to keep a game that is becoming short from breaking up. A stakes player participates in a game under an arrangement or understanding where by such person retains all or a percentage of his profits (after returning to the house the amount given him when he was first put in), usually at the end of a shift, but absorbs none of the losses.
- (16) "Time rake" means a charge to a player, determined on a time basis, by the Gaming Facility Operator for the right to participate in a game.

## **II. PROMOTIONAL AWARD POKER GAME REQUIREMENTS**

The provisions of this Section II shall apply to promotional award poker games.

### **A. Types of Promotional Award Poker Games.**

- (1) The Gaming Facility Operator shall only conduct promotional award poker games under game rules approved and authorized by the Tribal Gaming Office and the State Gaming Agency. Promotional award poker games shall not exceed the wager limitations established in Section 3(m)(3) of the Compact as adjusted pursuant to Section 3(m)(4) of the Compact.
- (2) A promotional award poker game must maintain poker as its primary basis of play and shall not introduce into play another form of Class II or Class III gaming activity, other than the wagers authorized by this Appendix.

- (3) A promotional award poker game shall not utilize dice or any comparable device or object. A promotional award poker game also shall not use any mechanical, electronic or electromechanical components or hardware in the play of the game or to determine payout odds or amounts, except (a) to calculate and display progressive game payout amounts, and (b) for shuffling devices and shoes. Electronic or electromechanical components or hardware, including program software, must be tested and approved by an independent testing laboratory prior to use for play. An electronic random number generator may be utilized in a promotional award poker game to determine the starting position for the play of the game and shall conspicuously display the number corresponding to the seat position of the player or dealer that will be the starting position. Such a random number generator does not need to be tested or approved by a laboratory.

**B. Number of Card Game Tables.**

The number of Card Game Tables in play shall not exceed the limits established in Section 3(e) of the Compact. The number of Card Game Table player positions in promotional award poker games shall be limited to no more than ten (10) available player positions plus the dealer. Card Game Tables used in authorized tournament play shall be included when determining the total number of Card Game Tables in play in a Gaming Facility. No card games shall be operated outside of a Gaming Facility.

**C. Licensing and Certification of Card Room Employees.**

All card room employees shall be licensed by the Tribal Gaming Office and certified by the State Gaming Agency in accordance with the provisions of Sections 4 and 5 of the Compact.

**D. Access to Records and Reports.**

The State Gaming Agency shall have access to all records of the card room and promotional award poker game gaming, pursuant to the provisions of Section 6 and 7 of the Compact, including, but not limited to:

- (1) daily activity and accounting records;
- (2) security reports;
- (3) surveillance activities and reports; and
- (4) investigative reports.

**E. Inspection of Card Tables, Cards and Play.**

The State Gaming Agency shall be authorized to inspect any promotional award poker game table, playing cards, related operations and/or observe any gaming activity pursuant to the provisions of the Compact and its appendices.

**F. Adoption of Rules.**

- (1) The Gaming Facility Operator shall submit for approval to the Tribal Gaming Office rules and procedures for play to govern the conduct of promotional award poker games operated in each Gaming Facility deemed appropriate to ensure the integrity, fairness and security of play. The Tribal Gaming Office shall review and issue a letter either approving or disapproving the rules and procedures for each promotional award poker game to be played in the Gaming Facility prior to implementation.
- (2) Copies of promotional award poker game rules and procedures shall be provided to the State Gaming Agency prior to implementation for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed rules and procedures. If the State Gaming Agency does not object within seven (7) days, then the rules and procedures are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections. Unresolved objections to any proposed rules or procedures shall be resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.
- (3) Summaries of the rules of each promotional award poker game relevant to the method of play and, if applicable, odds paid to winning wagers shall be visibly displayed in the Gaming Facility and wagering limits applicable to any promotional award poker game table shall be displayed at such table.
- (4) Promotional award poker game rules and procedures approved by the Tribal Gaming Office shall include in addition to the rules of play:
  - (a) Specifications provided by the equipment manufacturer or supplier applicable to gaming equipment;
  - (b) Physical characteristics of chips;
  - (c) Physical characteristics of such other gaming equipment as may be required for use in promotional award poker games, including, but not limited to:
    - (i) cards (including procedures for receipt and storage);
    - (ii) card tables;
    - (iii) table layouts;
    - (iv) shoes (including procedures for receipt and storage), if applicable;



- (v) shuffling devices (including procedures for receipt and storage), if applicable; and
- (d) Rules for each promotional award poker game, including, but not limited to:
  - (i) procedures of play;
  - (ii) minimum and maximum permissible wagers;
  - (iii) shuffling, cutting and dealing techniques, as applicable;
  - (iv) payout odds on each form of wager, as applicable;
  - (v) procedures to be followed on occurrence of irregularities, including definition of irregularities as applicable to each promotional award poker game; and
  - (vi) prohibitions on side betting between and against players.

**G. Currency Transaction Reporting.**

The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish and the Gaming Facility Operator shall comply with procedures and controls necessary to comply with the provisions of the federal Bank Secrecy Act and the federal USA Patriot Act. Copies of the procedures and controls established to comply with the Acts shall be provided to the Tribal Gaming Office and available to the State Gaming Agency upon request.

**H. Credit.**

- (1) Except as otherwise provided, no employee of the Gaming Facility Operator, and no person acting on behalf of or under any arrangement with the Gaming Facility Operator, shall make any loan, or otherwise provide or allow to any person any credit or advance of anything of value or which represents value to enable any person to take part in gaming activities as a player; provided, that nothing in this Appendix shall restrict the providing of cash advances on player's credit cards or bank cards in accordance with normal commercial practices and provisions of the Compact; provided further, that nothing in this Appendix shall restrict the use of player checks when utilized in accordance with the provisions of the Compact. Marker credit play shall not be allowed. Personal checks or other name credit instruments shall not be accepted at a promotional award poker game table. Foreign currency shall not be accepted at a promotional award poker game table.
- (2) No employee of the Gaming Facility Operator, and no person acting on behalf of or under any arrangement with the Gaming Facility Operator, shall make, solicit or receive any loan, or otherwise receive any credit or advance of anything of value from a patron.

**I. Promotional Award Poker Game Training.**

- (1) Prior to any new promotional award poker game being implemented at the Gaming Facility, the Tribal Gaming Office shall require the Gaming Facility Operator to provide appropriate training for all promotional award poker game dealers, supervisors, surveillance personnel, and any other employees involved in the conduct or regulation of the promotional award poker game such that those employees have the knowledge and skills required under typical industry standards for the job function that employee performs, including but not limited to player money management and wagering, and detection of cheating methods. Tribal Gaming Office employees responsible for promotional award poker games shall receive appropriate training in any new promotional award poker game, independent of the Gaming Facility Operator, except that training for promotional award poker game procedures and rules specific to a Gaming Facility may be provided by the Gaming Facility Operator.
- (2) The Tribal Gaming Office shall notify the State Gaming Agency prior to beginning the new training programs and shall provide the State Gaming Agency an opportunity to participate.

**J. Notice of Installation.**

- (1) The Gaming Facility Operator shall provide the Tribal Gaming Office advance written notice that it intends to install or re-install, or modify any promotional award poker game table, including any newly purchased, leased, or previously approved promotional award poker game table, for use for play prior to placing such table into play at any Gaming Facility. Such notification shall be provided in time to allow the Tribal Gaming Office to schedule employees to inspect and test, as applicable, such tables prior to use for play, and to provide to the State Gaming Agency sufficient notification.
- (2) The Tribal Gaming Office shall provide the State Gaming Agency with all the information the Gaming Facility Operator is required to provide to the Tribal Gaming Office upon notification by the Gaming Facility Operator to allow the State Gaming Agency to coordinate inspection and testing, as applicable.
- (3) All installation, reinstallation, and modifications of promotional award poker game tables shall be approved by the Tribal Gaming Office prior to use for play in a Gaming Facility. All promotional award poker game tables shall have affixed an identifying approval seal or equivalent from the Tribal Gaming Office while in use for play in a Gaming Facility. If the State Gaming Agency is not present at the time of installation, reinstallation or modification, the Gaming Facility Operator may put the promotional award poker game table in use for play if approved by the Tribal Gaming Office.

- (4) When the State Gaming Agency approves a promotional award poker game table for either use for play or continued use, it shall affix an identifying approval seal or equivalent to the promotional award poker game table. If the State Gaming Agency denies approval for use for play or continued use, the State Gaming Agency shall, at the conclusion of inspection and testing, as applicable, orally explain to the Gaming Facility Operator and the Tribal Gaming Office why the State Gaming Agency is denying approval. The State Gaming Agency shall promptly issue a written statement to the Gaming Facility Operator and Tribal Gaming Office setting forth the grounds for denial of approval.
- (5) The Tribal Gaming Office and the State Gaming Agency shall ensure that all promotional award poker game tables and all promotional award poker game activities are properly covered by surveillance, pursuant to the provisions of Appendix C and Appendix H for card games.

**K. Notice of Removal.**

- (1) The Gaming Facility Operator shall provide the Tribal Gaming Office five (5) days advance written notice if it intends to remove any promotional award poker game table from the Gaming Facility or to allow such tables to be removed. The notice shall identify which promotional award poker game table(s) will be removed from the Gaming Facility and give details regarding when they will be removed and where, and to whom they will be taken. The Tribal Gaming Office shall immediately remove and discard all affixed approval seals from any promotional award poker game tables removed from the Gaming Facility and shall provide the State Gaming Agency written verification of having discarded the seals.
- (2) If promotional award poker game tables are merely moved to storage, the Gaming Facility Operator shall provide the Tribal Gaming Office 24 hours advance written notice of the tables to be moved and seals need not be removed. The Tribal Gaming Office shall provide written notice to the State Gaming Agency within 48 hours of such movement.

**L. Equipment Control.**

All promotional award poker game tables and associated equipment, as applicable, shall be purchased, leased or acquired only from manufacturers, distributors, or suppliers certified by the State Gaming Agency and licensed by the Tribal Gaming Office in accordance with the provisions of Section 4 and 5 of the Compact.

**M. Card Controls.**

- (1) All playing cards shall be purchased or acquired only from manufacturers, distributors, or suppliers certified by the State

Gaming Agency and licensed by the Tribal Gaming Office in accordance with the provisions of Section 4 and 5 of the Compact.

- (2) Playing cards may have imprinted on them the name and/or logo of the gaming establishment. The design on the backs of the cards in the deck shall be identical, and no card may contain any marking, symbol, or design that enables a player to know the identity of any element printed on the face of the card. The backs of the cards in the deck shall be designed to eliminate the ability of any person to place concealed markings on them.
- (3) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish appropriate procedures and controls for purposes of security and integrity to ensure all decks of playing cards are properly accounted for from the time of receipt to the time of destruction or disposition.
- (4) A secured location for storing unissued playing cards shall be maintained. The secured location shall be under constant monitoring by surveillance cameras. The exit and entrance to this area shall be viewed by at least one fixed camera. A sign-in and sign-out log shall be completed by individuals entering the area. Surveillance shall be notified when persons request entry into this area. At no time will a single individual be allowed to enter this area alone.
- (5) The Gaming Facility Operator shall maintain an ongoing perpetual inventory of cards that allows for the immediate verification of balances. Not less than monthly, someone independent of the card room shall verify the card inventory and perpetual inventory records. Any discrepancies shall be immediately investigated and reported to the Tribal Gaming Office and the State Gaming Agency.
- (6) Cards maintained in the card room area shall be stored in a locked cabinet and only accessible to authorized personnel.

**N. Supervision and Card Room Area.**

- (1) A designated supervisor shall be responsible for the supervision of promotional award poker game activity, including observing promotional award poker game dealers and players, initially resolving player disputes arising from table play, and other duties as required. At least one supervisor shall be in the card room area at all times that promotional award poker games are open for play.
- (2) No card room supervisor or management employee shall be permitted to wager in any promotional award poker game operated by the Gaming Facility Operator; however, where the Gaming Facility Operator never operates more than ten poker and promotional award poker game tables at one time, an on duty floorperson may act as a proposition player pursuant to procedures

established by the Gaming Facility Operator and approved by the Tribal Gaming Office and State Gaming Agency, when such play by the floorperson is necessary to keep a promotional award poker game operating. This provision shall not preclude a player from placing a tip in the form of a wager, on behalf of a promotional award poker game dealer.

- (3) All card room supervisors and management employees shall be knowledgeable in the play of all promotional award poker games played and the regulatory requirements of such promotional award poker games.
- (4) No card room supervisor or management employee shall, directly or indirectly, solicit, accept, or receive tips or gratuities from any patron or gaming employee, whether as cash or token, or deposited in a tip box designated for such purpose, or in any other manner, except as provided in Section II(R) of this Appendix.
- (5) No card room employee shall, directly or indirectly, share with, offer, or give tips or gratuities to any card room supervisor or management employee who is serving in a supervisory capacity, except as provided in Section II(R) of this Appendix.

**O. Prohibited Acts.**

- (1) No Gaming Facility Operator or other person shall remove, add, or alter any cards except as provided by this Appendix, and no promotional award poker game dealer or other employee of the Gaming Facility Operator shall permit any person to engage in such activity.
- (2) The promotional award poker game dealer shall not look at, nor expose to any person, the face of a card before it is dealt.
- (3) A player shall not use any person, device, object, process, or procedures, other than the player's own unrecorded mental acuity, which is designed or intended to:
  - (a) Project the outcome of the promotional award poker game;
  - (b) To keep track of the cards played; or
  - (c) To analyze or predict the probability of the occurrence of an event relating to the promotional award poker game.
  - (d) Nothing in this section shall prohibit a player from using a strategy card, except when the Gaming Facility Operator has posted notice prohibiting such use.
- (4) No promotional award poker game dealer, floorperson or supervisor shall advise a player about game strategy nor recommend the proper play of a hand while the player has a wager still pending on the outcome of the hand.

- (5) No person may introduce into any promotional award poker game any playing card that was not obtained through the current deal of the cards by the promotional award poker game dealer, or any chip other than those obtained from the Gaming Facility where the promotional award poker game is being played.

**P. Cards - Inspection and Presentation.**

- (1) Upon receiving a deck of cards at a promotional award poker game table, the promotional award poker game dealer shall sort and inspect the cards. The promotional award poker game dealer shall ensure that the deck is complete, and that no cards are obviously flawed, scratched, or marked in any way. A floorperson, supervisor, or surveillance shall verify the inspection.
- (2) The promotional award poker game dealer shall spread out the cards, faced upward on the table, according to suit, and in sequence, in such a manner that each individual card can be identified. The surveillance system shall record this process.
- (3) If, after checking the cards, the promotional award poker game dealer finds that certain cards are damaged or improper, a substitute card or deck, as applicable, shall be brought from the card room inventory.

**Q. Cards - Removal from Use.**

- (1) The Gaming Facility Operator shall remove cards at any time if there is any indication of tampering, flaws, scratches, marks, or other defects that might affect the integrity or fairness of the promotional award poker game or at the request of an authorized representative of the Tribal Gaming Office or the State Gaming Agency. Any cards or deck of cards which indicate purposeful tampering shall be placed in a sealed envelope or container, identified by table number, date and time, and shall be signed or initialed by the promotional award poker game dealer and a card room supervisor.
- (2) All envelopes and containers containing cards (or deck of cards) which indicate purposeful tampering shall be turned over to the Tribal Gaming Office who shall inspect them for tampering, marks, alterations, missing or additional cards, or anything that might indicate unfair play. The Tribal Gaming Office shall promptly notify the State Gaming Agency of any cards which indicate purposeful tampering and shall allow the State Gaming Agency to inspect such cards upon request.

**R. Promotional Award Poker Game Dealer Tips.**

- (1) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish the criteria and procedures for the acceptance and, as applicable, distribution

of tips. At a minimum, such procedures shall require that tips be placed in the card table bank, tip drop box, or dealer's front shirt pocket. The procedures shall provide the criteria to ensure that tips received are reported as income for tax purposes for the individuals receiving them pursuant to applicable tax laws.

- (2) No Gaming Facility Operator employee directly concerned with management, accounting, or surveillance shall solicit or accept any tip or gratuity. A card room supervisor or management employee, while temporarily relieving a promotional award poker game dealer, may accept tips on behalf of the regularly scheduled dealer, to be immediately deposited in a card table bank, tip drop box, or designated area reserved for that purpose. At no time shall any card room supervisor or management employee who serves in a supervisory position directly or indirectly solicit or accept any tip or gratuity from an employee under their supervision, or any other employee, at the Gaming Facility where they are employed. However, the card room supervisors and management employees may participate in the distribution of gratuities or tips directly or indirectly received by other card room employees if a pooling and distribution process approved by the Tribal Gaming Office is used whereby the employees eligible for distribution shall include the card room supervisors or management employees and all card room employees directly or indirectly receiving tips.
- (3) The Gaming Facility Operator shall establish procedures consistent with applicable laws for accounting of all tips and gratuities received by gaming employees.

**S. Chips and Tokens.**

- (1) General.
  - (a) A Gaming Facility Operator may not issue chips or tokens for use in its Gaming Facility(s), or sell or redeem chips or tokens, unless the specifications of the chips or tokens have been approved in writing by the Tribal Gaming Office.
  - (b) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish and the Gaming Facility Operator shall comply with appropriate procedures and controls for purposes of security and integrity to ensure that all chips and tokens are properly accounted for from the time of receipt to the time of destruction or disposition.
  - (c) Unused and/or reserve gaming chip inventory(s) shall be maintained in a secure location to prevent unauthorized access. The secure location shall be continuously recorded by a dedicated surveillance camera with sufficient clarity to

identify employees. Not less than monthly, accounting personnel shall reconcile unused and/or reserve gaming chip inventory(s) to accountability records.

- (2) Specifications for chips and tokens.
  - (a) All chips and tokens shall be purchased or acquired only from manufacturers, distributors, or suppliers certified by the State Gaming Agency and licensed by the Tribal Gaming Office pursuant to Sections 4 and 5 of the Compact.
  - (b) Chips and tokens shall be designed, manufactured, and constructed in compliance with all applicable statutes. Chips and tokens shall not deceptively resemble any current or past coinage or currency of the United States or any other nations.
  - (c) In addition to other specifications that the Tribal Gaming Office may approve, the following shall appear on the chip or token:
    - (i) The name of the issuing Tribe and/or Gaming Facility shall be inscribed on at least one side of a chip or token;
    - (ii) The value of the chip or token shall be inscribed on both sides of a chip; and
    - (iii) A chip shall be designed so that when stacked with chips and tokens of other denominations and viewed on surveillance monitors, the denomination of the chip may be distinguished from that of the other chips and tokens in the stack.
- (3) The Gaming Facility Operator shall comply with the following standards for chips used in the Gaming Facility. Denominations of chips shall be denoted by the following colors:
  - (a) A five-dollar chip shall be predominantly red;
  - (b) A twenty-five-dollar chip shall be predominantly green;
  - (c) A one-hundred dollar chip shall be predominately black;
  - (d) A five-hundred dollar chip shall be predominately purple;
  - (e) Tournament and promotional chips may be of any color;
  - (f) Chips designed for play of specific games may be of any color, or in the colors required by the rules of the game; and
  - (g) Other chip denominations may be used with approval of the Tribal Gaming Office and the State Gaming Agency.



**T. Posting and Furnishing of Rules.**

- (1) House rules governing the play of promotional award poker games and jackpot promotional fund rules shall be clear and legible and either:
  - (a) posted in conspicuous and conveniently accessible locations in the card room available to all players; or
  - (b) available in a location or locations in the card room conveniently accessible to all players with notice of their availability conspicuously posted in the card room.
- (2) The maximum rake percentage or other fee charged, the maximum jackpot promotional fund percentage, the number of raises allowed, the monetary limit of each raise, the amount of the ante, and other promotional award poker game rules shall be available upon the request of any player.
- (3) The Gaming Facility Operator shall furnish, upon the request of any player, a complete legible set of all rules of play and betting for promotional award poker games, including house rules for the play of promotional award poker games and promotional fund rules.

**U. Proposition Players.**

- (1) All proposition players authorized pursuant to this Appendix shall be certified by the State Gaming Agency and licensed by the Tribal Gaming Office as Gaming Employees pursuant to the provisions of the Compact.
- (2) Proposition players shall not play in any manner among themselves or in collusion with others to the disadvantage of other players in the promotional award poker game.
- (3) Each Gaming Facility Operator employing proposition players shall identify proposition players upon request and shall display a clear and legible sign in a conspicuous and conveniently accessible location which states, in substantially this form: "Tribal gaming regulations allow the use of proposition players. Proposition players will be identified by management upon request."
- (4) Each Gaming Facility Operator shall maintain a list of all proposition players, readily available for inspection by the Tribal Gaming Office and the State Gaming Agency
- (5) Promotional award poker game dealers may only act as proposition players if in accordance with the Gaming Facility Operator's approved procedures.
- (6) Card room supervisors and management employees shall not act as proposition players; however, where the Tribe never operates more than ten poker and promotional award poker game tables at

one time, an on duty floorperson may act as a proposition player pursuant to procedures established by the Gaming Facility Operator and approved by the Tribal Gaming Office and State Gaming Agency, when such play by the floorperson is necessary to keep a promotional award poker game operating.

**V. Restrictions of Other Players.**

- (1) No promotional award poker game dealer shall wager in any promotional award poker game in which he is dealing.
- (2) No Gaming Employee shall be allowed to stake, or have a stake in, a player in any card game in the Gaming Facility.
- (3) Skills and stakes players are not authorized pursuant to this Appendix and shall not be utilized by any Gaming Facility Operator.

**W. Rake-Off and Time Buy-In.**

- (1) A rake shall be collected in accordance with the posted rules for such promotional award poker game. Time rake collection shall be allowed in any promotional award poker game, predetermined by management. The promotional award poker game dealer shall not deviate from the standard rake or rake-off procedures without prior management approval.
- (2) A standard rake chart and rake-off procedures shall be set by management.
- (3) A rake shall only be pulled by the promotional award poker game dealer in an obvious manner. The rake shall be placed in a designated rake circle/area or on top of the drop slide and shall remain in the designated rake circle/area or on top of the drop slide until a winner is declared and paid. The rake shall then be inserted into the card table drop box.
- (4) For time rakes, the promotional award poker game dealer shall place the rake in the designated rake circle/area and shall announce to the manager/supervisor that he has a time rake. The manager/supervisor shall verify the time rake and shall observe the promotional award poker game dealer place the time rake into the card table drop box.
- (5) A jackpot rake may be taken in addition to the standard rake in accordance with the rules for such promotional award poker game.
- (6) A separate rake circle/area shall be used for the jackpot rake.
- (7) Monies from the rake and the jackpot rake shall not be commingled.
- (8) If one promotional award poker game table is to be used in a single shift for two or more dissimilar promotional award poker games which offer jackpot promotional awards, the jackpot promotional

fund drop box shall be removed, secured, and replaced between game changes.

**X. Table Stakes.**

- (1) Players in promotional award poker games may bet only the visible portion of chips and tokens in front of them on the promotional award poker game table when the hand begins. Such players may add to their stacks at any time before the hand starts, but cannot take money that has been in play for even one hand off the promotional award poker game table until they cash out, except that money on the table may be used for tips and to purchase food and beverages served at the table, as applicable.
- (2) Players shall not be allowed to loan or exchange cash, chips or tokens with another player while a hand is in progress.

**Y. Drop Boxes.**

- (1) Each table used for promotional award poker games shall have one drop box with a drop slot located at least two inches to the right of and even with the top right corner of the table tray, with a cover over the drop slot. At the conclusion of the hand the rake is placed in the drop box by the promotional award poker game dealer. The drop box shall be a locked container marked with a permanent number corresponding to the permanent number on the promotional award poker game table. The locked container shall be locked to the table and shall be separately keyed from the container itself.
- (2) Each promotional award poker game with a jackpot rake shall be played on a promotional award poker game table with a separate jackpot promotional fund drop box with the drop slot located at least two inches to the left of and even with the top left of the table tray, with a cover over the drop slot. At the conclusion of the hand the jackpot rake is placed in the drop box by the promotional award poker game dealer. The drop box shall be a locked container and shall be clearly marked, identifying the contents of the box. The locked container shall be locked to the promotional award poker game table and shall be separately keyed from the lock securing the contents of the container itself.

**Z. Card Room Banks (or Cage).**

- (1) Card room banks shall be used exclusively for the purpose of the issuance and receipt of card table banks, the maintenance of card table banks used in card games, and the purchase and redemption of chips by players or promotional award poker game dealers.
- (2) Card room banks shall be maintained on an imprest basis. Access and keys to the card room bank(s) shall be controlled in accordance with the Gaming Facility Operator's approved access

and key control procedures and minimum internal control standards. Accountability for the imprest bank(s) shall be established in accordance with the Gaming Facility Operator's procedures and minimum internal control standards.

**AA. Card Table Banks.**

Promotional award poker games shall use an imprest card table bank. For all card table banks, at all times the chips, tokens and money in the card table bank shall equal a pre-established amount, plus promotional award poker game dealer tips if dealer tips are stored in the card table bank. The card table banks shall be used for the purpose of making change, handling player buy-ins, or storing promotional award poker game dealer tips.

**BB. Game Drop and Count Standards.**

- (1) A card table drop shall be performed at the end of each shift. Times for card table drop and count shall be submitted to the Tribal Gaming Office for approval, and the Tribal Gaming Office shall provide a copy to the State Gaming Agency. Card table drop and count shall be conducted only at the scheduled times, except for emergency drops.
- (2) The Tribal Gaming Office shall be notified prior to performing any emergency drop. A written record shall be maintained of all emergency drops indicating the reason, persons involved, date and time.
- (3) Any permanent change to the drop and/or count times shall be submitted to the Tribal Gaming Office for approval prior to any change being implemented by the Gaming Facility Operator. The Tribal Gaming Office shall immediately notify the State Gaming Agency of any approved changes.

**CC. Jackpot Promotional Fund Rules.**

- (1) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall adopt rules that govern jackpot promotional funds.
- (2) Copies of jackpot promotional fund rules shall be provided to the State Gaming Agency prior to implementation for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed rules. If the State Gaming Agency does not object within seven (7) days, then the rules are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and the State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections. Unresolved objections to any proposed rules shall be

resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.

- (3) The rules shall be conspicuously posted.
- (4) At a minimum, the rules shall designate:
  - (a) the amount of the jackpot rake to be contributed from each hand or pot into the jackpot promotional fund;
  - (b) what predetermined event it takes to win a jackpot;
  - (c) how the jackpot promotional fund will be paid out;
  - (d) how and when the contributed funds are added to the jackpot; and
  - (e) amount/percentage of funds allocated to primary and secondary jackpots, if applicable;
  - (f) if applicable, the amount of any base or seed funds contributed by the Gaming Facility Operator to the jackpot promotional fund; and
  - (g) all uses of the jackpot promotional fund, including all eligibility requirements for awards, all predetermined events upon which awards may be made, and all uses related to jackpot promotional tournaments.
- (5) All funds contributed by players into a jackpot promotional fund shall be returned to players on the happening of one or more predetermined events, which may or may not include the play of a hand, in accordance with the posted rules, except as provided by Compact Section 3(v)(2)(H). A player must be actively participating in live or tournament play at the time eligibility for an award from the jackpot promotional fund is determined. No commission or administrative fee shall be paid to the Gaming Facility Operator or others for administering a jackpot promotional fund. Any non-cash award shall be charged to the jackpot promotional fund at no greater than the actual cost of the award (as reasonably determined by the Gaming Facility Operator). In addition, the funds contributed to a jackpot promotional fund shall be accounted for separately. Any interest earned on a jackpot promotional fund balance shall be credited and posted to the jackpot promotional fund.

**DD. Jackpot Promotional Fund Signs.**

The amount of the jackpot promotional fund(s) shall be conspicuously displayed in the card room. At least once a day the fund sign(s) or meter(s), as applicable, shall be updated to reflect the current jackpot amounts. At least once a day, increases to the fund sign(s) or meter(s)

shall be reconciled to the cash previously counted or received by the cage by the accounting department.

**EE. Notification of Jackpot Promotional Fund Awards.**

Within twenty-four (24) hours of the award of any promotional jackpot equal to or greater than \$25,000, the Tribal Gaming Office shall notify the State Gaming Agency of such award. The State Gaming Agency shall advise the Tribal Gaming Office of the designated person to whom such notice shall be given.

**FF. Jackpot Promotional Fund Log.**

- (1) A jackpot promotional fund log shall be maintained. Someone independent of the card room shall record the amount of each jackpot promotional fund liability sign or meter on a daily basis.
- (2) The jackpot promotional fund log shall be forwarded to accounting at least once a month, and whenever a promotional jackpot is awarded.
- (3) Accounting shall ensure all decreases are reasonable and properly explained. The explanation shall include a reference to the card games payout form numbers documenting a jackpot promotional fund payout.
- (4) At least once a month, and whenever a promotional jackpot is awarded, accounting shall reconcile the promotional jackpot liability to the amount shown on the jackpot promotional fund log and the amount displayed on the jackpot sign(s) or meter(s) in the card room.
- (5) The total of the promotional jackpot amounts awarded per the card games payout form(s) for each player shall agree to the promotional jackpot liability as recorded on the Jackpot Promotional Fund log.

**GG. Unclaimed Jackpots.**

- (1) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish procedures and controls for the handling of unclaimed jackpots.
- (2) Copies of unclaimed jackpot procedures and controls shall be provided to the State Gaming Agency prior to implementation for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed procedures and controls. If the State Gaming Agency does not object within seven (7) days, then the procedures and controls are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and the State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections.

Unresolved objections to any proposed procedures and controls shall be resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.

**HH. Quarterly Report.**

A financial report of the jackpot promotional fund covering the prior quarter's activities, including funds received, held, and distributed, and all promotional items distributed, shall be prepared by the Gaming Facility Operator and provided to the Tribal Gaming Office by the 25<sup>th</sup> day of the month following the end of the quarter. The Tribal Gaming Office shall provide a copy of this report to the State Gaming Agency upon receipt from the Gaming Facility Operator.

**II. Promotional Award Poker Game Tournaments.**

- (1) The Gaming Facility Operator may conduct promotional award poker game tournaments. At such tournaments only promotional award poker games approved and authorized by the Tribal Gaming Office and the State Gaming Agency may be played. The rules of play of each tournament promotional award poker game shall follow the standard rules of play of each promotional award poker game.
- (2) The Gaming Facility Operator shall submit for approval to the Tribal Gaming Office operational standards, rules and procedures to govern the conduct and play of any promotional award poker game tournament. The Tribal Gaming Office shall review and issue a letter either approving or disapproving the operational standards, rules and procedures prior to the beginning of tournament play.
- (3) Copies of tournament standards, rules and procedures shall be provided to the State Gaming Agency prior tournament play for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed standards, rules and procedures. If the State Gaming Agency does not object within seven (7) days, then the standards, rules and procedures are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and the State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections. Unresolved objections to any proposed standards, rules and procedures shall be resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.
- (4) The operational standards, rules and procedures for the conduct of tournament play shall be:
  - (a) Available to all tournament players prior to the beginning of the tournament; and
  - (b) Posted in a conspicuous location.

- (5) The operational standards, rules and procedures shall include but are not limited to:
  - (a) Qualification or selection criteria which limit the eligibility of tournament players. Proposition players shall not be permitted to play as proposition players in tournament play;
  - (b) Regulations of the tournament (e.g., beginning and ending times, number of rounds, lapse of rounds, entry fee, elimination factors, cash handling procedures, etc.); and
  - (c) Prizes to be awarded.

**JJ. Entry Fee and Player Buy-In.**

- (1) Promotional award poker game tournament entry fees and buy-ins shall be documented on a tournament entry fee and buy-in log. The following information, at a minimum, shall be recorded on the log at the time the entry fee or buy-in is conducted: name of patron and amount of the entry fee or buy-in.
- (2) Neither the amount of the tournament entry fee nor the amount of all allowable player buy-ins shall exceed five hundred dollars, unless a greater amount is approved by the Tribal Gaming Office and reported to the State Gaming Agency. If both an entry fee and buy-ins are used at a single tournament, then the combined amount of both the entry fee and all allowable buy-ins shall not exceed five hundred dollars, or the amount approved by the Tribal Gaming Office and reported to the State Gaming Agency.

**III. HOUSE BANKED POKER GAME REQUIREMENTS**

The provisions of this Section III shall apply to house banked poker games.

**A. Types of House Banked Poker Games.**

- (1) The Gaming Facility Operator shall only conduct house banked poker games under game rules approved and authorized by the Tribal Gaming Office and the State Gaming Agency.
- (2) A house banked poker game must maintain poker as its primary basis of play and shall not introduce into play another form of Class II or Class III gaming activity, other than the wagers authorized by this Appendix.
- (3) A house banked poker game shall not utilize dice or any comparable device or object. A house banked poker game also shall not use any mechanical, electronic or electromechanical components or hardware in the play of the game or to determine payout odds or amounts, except (a) to calculate and display progressive game payout amounts, and (b) for shuffling devices and shoes. Electronic or electromechanical components or hardware, including program software, must be tested and



approved by an independent testing laboratory prior to use for play. An electronic random number generator may be utilized in a house banked poker game to determine the starting position for the play of the game and shall conspicuously display the number corresponding to the seat position of the player or dealer that will be the starting position. Such a random number generator does not need to be tested or approved by a laboratory.

**B. Number of Card Game Tables.**

The number of Card Game Tables in play shall not exceed the limits established in Section 3(e) of the Compact. The number of Card Game Table player positions in house banked poker games shall be limited to no more than ten (10) available player positions plus the dealer. Card Game Tables used in authorized tournament play shall be included when determining the total number of Card Game Tables in play in a Gaming Facility. No card games shall be operated outside of a Gaming Facility.

**C. Licensing and Certification of House Banked Poker Game Employees.**

All house banked poker game employees shall be licensed by the Tribal Gaming Office and certified by the State Gaming Agency in accordance with the provisions of Sections 4 and 5 of the Compact.

**D. Access to Records and Reports.**

The State Gaming Agency shall have access to all records of house banked poker game gaming activity, pursuant to the provisions of Section 6 and 7 of the Compact, including, but not limited to:

- (1) daily activity and accounting records;
- (2) security reports;
- (3) surveillance activities and reports; and
- (4) investigative reports.

**E. Inspection of Card Tables, Cards and Play.**

The State Gaming Agency shall be authorized to inspect any house banked poker game table, playing cards, related operations and/or observe any gaming activity pursuant to the provisions of this Compact and its appendices.

**F. Adoption of Rules.**

- (1) The Gaming Facility Operator shall submit for approval to the Tribal Gaming Office rules and procedures for play to govern the conduct of house banked poker games operated in each Gaming Facility deemed appropriate to ensure the integrity, fairness and security of play. The Tribal Gaming Office shall review and issue a letter either approving or disapproving the rules and procedures for each

house banked poker game to be played in the Gaming Facility prior to implementation.

- (2) Copies of house banked poker game rules and procedures shall be provided to the State Gaming Agency prior to implementation for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed rules and procedures. If the State Gaming Agency does not object within seven (7) days, then the rules and procedures are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and the State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections. Unresolved objections to any proposed rules or procedures shall be resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.
- (3) Summaries of the rules of each house banked poker game relevant to the method of play and, if applicable, odds paid to winning wagers shall be visibly displayed in the Gaming Facility and wagering limits applicable to any house banked poker game table shall be displayed at such table.
- (4) House banked poker game rules and procedures approved by the Tribal Gaming Office shall include in addition to the rules of play:
  - (a) Specifications provided by the equipment manufacturer or supplier applicable to gaming equipment;
  - (b) Physical characteristics of chips;
  - (c) Physical characteristics of such other gaming equipment as may be required for use in house banked poker games, including, but not limited to:
    - (i) cards (including procedures for receipt and storage);
    - (ii) card tables;
    - (iii) table layouts;
    - (iv) shoes (including procedures for receipt and storage), if applicable; and
    - (v) shuffling devices (including procedures for receipt and storage), if applicable; and
  - (d) Rules for each house banked poker game, including, but not limited to:
    - (i) Procedures of play;
    - (ii) Minimum and maximum permissible wagers;
    - (iii) Shuffling, cutting and dealing techniques, as applicable;

- (iv) Payout odds on each form of wager, as applicable, including maximum player or aggregate pay-out restrictions;
- (v) Procedures to be followed on occurrence of irregularities, including definition of irregularities as applicable to each house banked poker game; and
- (vi) Prohibitions on side betting between and against players.

**G. Currency Transaction Reporting.**

The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish and the Gaming Facility Operator shall comply with procedures and controls necessary to comply with the provisions of the federal Bank Secrecy Act and the federal USA Patriot Act. Copies of the procedures and controls established to comply with the Acts shall be provided to the Tribal Gaming Office and available to the State Gaming Agency upon request.

**H. Credit.**

- (1) Except as otherwise provided, no employee of the Gaming Facility Operator, and no person acting on behalf of or under any arrangement with the Gaming Facility Operator, shall make any loan, or otherwise provide or allow to any person any credit or advance of anything of value or which represents value to enable any person to take part in gaming activities as a player; provided, that nothing in this Appendix shall restrict the providing of cash advances on player's credit cards or bank cards in accordance with normal commercial practices and provisions of the Compact; provided further, that nothing in this Appendix shall restrict the use of player checks when utilized in accordance with the provisions of the Compact. Marker credit play shall not be allowed. Personal checks or other name credit instruments shall not be accepted at a house banked poker game table. Foreign currency shall not be accepted at a house banked poker game table.
- (2) No employee of the Gaming Facility Operator, and no person acting on behalf of or under any arrangement with the Gaming Facility Operator, shall make, solicit or receive any loan, or otherwise receive any credit or advance of anything of value from a patron.

**I. House Banked Poker Game Training.**

- (1) Prior to any new house banked poker game being implemented at the Gaming Facility, the Tribal Gaming Office shall require the Gaming Facility Operator to provide appropriate training for all house banked poker game dealers, supervisors, surveillance personnel, and any other employees involved in the conduct or regulation of the house banked poker game such that those

employees have the knowledge and skills required under typical industry standards for the job function that employee performs, including but not limited to player money management and wagering, and detection of cheating methods. Tribal Gaming Office employees responsible for house banked poker games shall receive appropriate training in any new house banked poker game, independent of the Gaming Facility Operator, except that training for house banked poker game procedures and rules specific to a Gaming Facility may be provided by the Gaming Facility Operator.

- (2) The Tribal Gaming Office shall notify the State Gaming Agency prior to the beginning of the new training programs and shall provide the State Gaming Agency an opportunity to participate.

**J. Notice of Installation.**

- (1) The Gaming Facility Operator shall provide the Tribal Gaming Office advance written notice that it intends to install or re-install, or modify any house banked poker game table, including any newly purchased, leased, or previously approved house banked poker game table, for use for play prior to placing such table into play at any Gaming Facility. Such notification shall be provided in time to allow the Tribal Gaming Office to schedule employees to inspect and test, as applicable, such tables prior to use for play, and to provide to the State Gaming Agency sufficient notification.
- (2) The Tribal Gaming Office shall provide the State Gaming Agency with all the information the Gaming Facility Operator is required to provide to the Tribal Gaming Office upon notification by the Gaming Facility Operator to allow the State Gaming Agency to coordinate inspection and testing, as applicable.
- (3) All installation, reinstallation, and modifications of house banked poker game tables shall be approved by the Tribal Gaming Office prior to use for play in a Gaming Facility. All house banked poker game tables shall have affixed an identifying approval seal or equivalent from the Tribal Gaming Office while in use for play in a Gaming Facility. If the State Gaming Agency is not present at the time of installation, reinstallation or modification, the Gaming Facility Operator may put the house banked poker game table in use for play if approved by the Tribal Gaming Office.
- (4) When the State Gaming Agency approves a house banked poker game table for either use for play or continued use, it shall affix an identifying approval seal or equivalent to the house banked poker game table. If the State Gaming Agency denies approval for use for play or continued use, the State Gaming Agency shall, at the conclusion of inspection and testing, as applicable, orally explain to the Gaming Facility Operator and the Tribal Gaming Office why the State Gaming Agency is denying approval. The State Gaming

Agency shall promptly issue a written statement to the Gaming Facility Operator and Tribal Gaming Office setting forth the grounds for denial of approval.

- (5) The Tribal Gaming Office and the State Gaming Agency shall ensure that all house banked poker game tables and all house banked poker game activities are properly covered by surveillance, pursuant to the provisions of Appendix C and Appendix H for table games.

**K. Notice of Removal.**

- (1) The Gaming Facility Operator shall provide the Tribal Gaming Office five (5) days advance written notice if it intends to remove any table from the Gaming Facility or to allow such tables to be removed. The notice shall identify which house banked poker game table(s) will be removed from the Gaming Facility and give details regarding when they will be removed and where, and to whom they will be taken. The Tribal Gaming Office shall immediately remove and discard all affixed approval seals from any house banked poker game tables removed from the Gaming Facility and shall provide the State Gaming Agency written verification of having discarded the seals.
- (2) If house banked poker game tables are merely moved to storage, the Gaming Facility Operator shall provide the Tribal Gaming Office 24 hours advance written notice of the house banked poker game tables to be moved and seals need not be removed. The Tribal Gaming Office shall provide written notice to the State Gaming Agency within 48 hours of such movement.

**L. Equipment Control.**

All house banked poker game tables and associated equipment, as applicable, shall be purchased, leased or acquired only from manufacturers, distributors, or suppliers certified by the State Gaming Agency and licensed by the Tribal Gaming Office in accordance with the provisions of Section 4 and 5 of the Compact.

**M. Card Controls.**

- (1) All playing cards shall be purchased or acquired only from manufacturers, distributors, or suppliers certified by the State Gaming Agency and licensed by the Tribal Gaming Office in accordance with the provisions of Section 4 and 5 of the Compact.
- (2) All playing cards shall have imprinted on them the name and/or logo of the gaming establishment. The design on the backs of the cards in the deck shall be identical, and no card may contain any marking, symbol, or design that enables a player to know the identity of any element printed on the face of the card. The backs

of the cards in the deck shall be designed to eliminate the ability of any person to place concealed markings on them.

- (3) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish appropriate procedures and controls for purposes of security and integrity to ensure all decks of playing cards are properly accounted for from the time of receipt to the time of destruction or disposition.
- (4) A secured location for storing unissued playing cards shall be maintained. The secured location shall be under constant monitoring by surveillance cameras. The exit and entrance to this area shall be viewed by at least one fixed camera. A sign-in and sign-out log shall be completed by individuals entering the area. Surveillance shall be notified when persons request entry into this area. At no time will a single individual be allowed to enter this area alone.
- (5) The Gaming Facility Operator shall maintain an ongoing perpetual inventory of cards that allows for the immediate verification of balances. Not less than monthly, someone independent of the table game department shall verify the card inventory and perpetual inventory records. Any discrepancies shall be immediately investigated and reported to the Tribal Gaming Office and the State Gaming Agency.
- (6) Cards maintained in the table game area shall be stored in a locked cabinet and only accessible to authorized personnel.

**N. Supervision and Table Game Area.**

- (1) A designated supervisor shall be responsible for the supervision of house banked poker game activity, including observing house banked poker game dealers and players, initiating and authorizing table fills and credits, counting and verifying beginning and ending table bank inventories, initially resolving player disputes arising from table play, and other duties as required. At least one supervisor shall be in the table game area at all times when house banked poker games are open for play.
- (2) No gaming employee shall make a wager in any house banked poker game operated by the Gaming Facility Operator. This shall not preclude a player from placing a tip, in the form of a wager, on behalf of a house banked poker game dealer.
- (3) No house banked poker game supervisor or management employee shall be permitted to wager in any card game operated by the Gaming Facility Operator.
- (4) All house banked poker game supervisors or management employees shall be knowledgeable in the play of all house banked

poker games for which they are responsible and the regulatory requirements of house banked poker games.

- (5) No house banked poker game supervisor or management employee shall, directly or indirectly, solicit, accept, or receive tips or gratuities from any patron or gaming employee, except as provided in Section III (R) of this Appendix.
- (6) No house banked poker game employee shall, directly or indirectly, share with, offer, or give tips or gratuities to any gaming employee who is serving in a supervisory capacity, except as provided in Section III (R) of this Appendix.

**O. Prohibited Acts.**

- (1) No Gaming Facility Operator or other person shall remove, add, or alter any cards except as provided by this Appendix, and no house banked poker game dealer or other employee of the Gaming Facility Operator shall permit any person to engage in such activity.
- (2) The house banked poker game dealer shall not look at, nor expose to any person, the face of a card before it is dealt.
- (3) A player shall not use any person, device, object, process, or procedures, other than the player's own unrecorded mental acuity, which is designed or intended to:
  - (a) Project the outcome of the house banked poker game;
  - (b) To keep track of the cards played; or
  - (c) To analyze or predict the probability of the occurrence of an event relating to the house banked poker game.
- (4) Nothing in this section shall prohibit a player from using a strategy card, except when the Gaming Facility Operator has posted notice prohibiting such use.
- (5) No house banked poker game dealer, floorperson or supervisor shall advise a player about game strategy of a hand while the player has a wager still pending on the outcome of the hand; provided, however that a dealer, floorperson or supervisor may describe or set a player's hand in the house way as provided in the rules of a house banked poker game.
- (6) No person may introduce into any house banked poker game any playing card that was not obtained through the current deal of the cards by the house banked poker game dealer, or any chip other than those obtained from the Gaming Facility where the house banked poker game is being played.
- (7) Only the house banked poker game dealer and the player to whom the cards have been dealt may touch the player's cards.

- (8) A player may not touch the cards with the player's person or any instrument in any manner that would alter, mark, bend, or otherwise allow any card to be distinguished from any other card.

**P. Cards - Inspection and Presentation.**

- (1) Upon receiving a deck of cards at a house banked poker game table, the house banked poker game dealer shall sort and inspect the cards. The house banked poker game dealer shall ensure that the deck is complete, and that no cards are obviously flawed, scratched, or marked in any way. A floorperson, supervisor, or surveillance shall verify the inspection.
- (2) The house banked poker game dealer shall spread out the cards, faced upward on the table, according to suit, and in sequence, in such a manner that each individual card can be identified. The surveillance system shall record this process.
- (3) If, after checking the cards, the house banked poker game dealer finds that certain cards are damaged or improper, a substitute card or deck, as applicable, shall be brought from the card room inventory.

**Q. Cards - Removal from Use.**

- (1) The Gaming Facility Operator shall remove cards at any time if there is any indication of tampering, flaws, scratches, marks, or other defects that might affect the integrity or fairness of the house banked poker game or at the request of an authorized representative of the Tribal Gaming Office or the State Gaming Agency. Any cards or deck of cards which indicate purposeful tampering shall be placed in a sealed envelope or container, identified by table number, date and time, and shall be signed or initialed by the house banked poker game dealer and a table game supervisor.
- (2) All envelopes and containers containing cards (or deck of cards) which indicate purposeful tampering shall be turned over to the Tribal Gaming Office who shall inspect them for tampering, marks, alterations, missing or additional cards, or anything that might indicate unfair play. The Tribal Gaming Office shall promptly notify the State Gaming Agency of any cards which indicate purposeful tampering and shall allow the State Gaming Agency to inspect such cards upon request.

**R. House Banked Poker Game Dealer Tips.**

- (1) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish the criteria and procedures for the acceptance and, as applicable, distribution of tips. The procedures shall provide criteria to ensure that tips received are reported as income for tax purposes for the individuals



receiving them pursuant to applicable tax laws. At a minimum, such procedures shall require that all tips be placed in a tip box.

- (2) No Gaming Facility Operator employee directly concerned with management, accounting, or surveillance shall solicit or accept any tip or gratuity. A house banked poker game supervisor, while temporarily relieving a house banked poker game dealer, may accept tips on behalf of the regularly scheduled dealer, to be immediately deposited in a locked box reserved for that purpose. At no time shall any table game employee who serves in a supervisory position directly or indirectly solicit or accept any tip or gratuity from an employee under their supervision, or any other employee, at the Gaming Facility where they are employed. However, house banked poker game supervisors or management employees may participate in the distribution of gratuities or tips directly or indirectly received by other table game employees if a pooling and distribution process approved by the Tribal Gaming Office is used whereby the employees eligible for distribution shall include the house banked poker game supervisors or management employees and all table game employees directly or indirectly receiving tips.
- (3) The Gaming Facility Operator shall establish procedures consistent with applicable laws for accounting for all tips and gratuities received by gaming employees.

**S. Chips and Tokens.**

- (1) General:
  - (a) A Gaming Facility Operator may not issue chips or tokens for use in its Gaming Facility(s), or sell or redeem chips or tokens, unless the specifications of the chips or tokens have been approved in writing by the Tribal Gaming Office.
  - (b) The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish and the Gaming Facility Operator shall comply with appropriate procedures and controls for purposes of security and integrity to ensure that all chips and tokens are properly accounted for from the time of receipt to the time of destruction or disposition.
  - (c) Unused and/or reserve gaming chip inventory(s) shall be maintained in a secure location to prevent unauthorized access. The secure location shall be continuously recorded by a dedicated surveillance camera with sufficient clarity to identify employees. Not less than monthly, accounting personnel shall reconcile unused and/or reserve gaming chip inventory(s) to accountability records.

- (2) Specifications for chips and tokens:
  - (a) All chips and tokens shall be purchased or acquired only from manufacturers, distributors, or suppliers certified by the State Gaming Agency and licensed by the Tribal Gaming Office pursuant to Sections 4 and 5 of the Compact.
  - (b) Chips and tokens shall be designed, manufactured, and constructed in compliance with all applicable statutes. Chips and tokens shall not deceptively resemble any current or past coinage or currency of the United States or any other nations.
  - (c) In addition to other specifications that the Tribal Gaming Office may approve, the following shall appear on the chip or token:
    - (i) The name of the issuing Tribe and/or Gaming Facility shall be inscribed on at least one side of a chip or token;
    - (ii) The value of the chip or token shall be inscribed on both sides of a chip; and
    - (iii) A chip shall be designed so that when stacked with chips and tokens of other denominations and viewed on surveillance monitors, the denomination of the chip may be distinguished from that of the other chips and tokens in the stack.
- (3) The Gaming Facility Operator shall comply with the following standards for chips used in the Gaming Facility. Denominations of chips shall be denoted by the following colors:
  - (a) A five-dollar chip shall be predominantly red;
  - (b) A twenty-five-dollar chip shall be predominantly green;
  - (c) A one-hundred dollar chip shall be predominately black;
  - (d) A five-hundred dollar chip shall be predominately purple;
  - (e) Tournament and promotional chips may be of any color;
  - (f) Chips designed for play of specific games may be of any color, or in the colors required by the rules of the game; and
  - (g) Other chip denominations may be used with approval of the Tribal Gaming Office and the State Gaming Agency.

**T. Posting and Furnishing of Rules.**

- (1) Rules governing play of each house banked poker game shall be clear and legible and either:

- (a) posted in conspicuous and conveniently accessible locations in the house banked poker game area available to all players; or
  - (b) available in a location or locations in the house banked poker game area conveniently accessible to all players with notice of their availability conspicuously posted in the house banked poker game area.
- (2) The Gaming Facility Operator shall furnish, upon the request of any player, a complete legible set of all rules of play and betting for house banked poker games.

**U. House Banked Poker Game Table—Physical Characteristics.**

- (1) House banked poker games shall be played at a table having on one side places for not more than ten players and, on the opposite side, a place for the dealer.
- (2) A table for house banked poker games, while in play, shall have a table tray, a discard rack, a drop slot and drop box with a clear plastic money paddle, and a tip box, except that no tip box shall be required if tips are not accepted at the table. A table for house banked poker games may also be equipped with such other devices as specified in the rules for such house banked poker game.
- (3) The layout shall have specific areas marked in which to place wagers. A layout used for a house banked poker game may have additional markings which identify the name and/or logo of the establishment, the game, the holder of intellectual property rights to the game, the distributor of the game, any special markings needed for play of the game, and any other markings approved by the Tribal Gaming Office and the State Gaming Agency.
- (4) The following notices shall appear either on the table layout or on table signage clearly visible to every player at the table:
  - (a) Minimum and maximum table betting limits and, if applicable, minimum and maximum table betting limits for special circumstances.
  - (b) A statement that players may request a copy of all house banked poker game rules.
  - (c) Any special payment schedule or payoff odds, including maximum player or aggregate pay-out restrictions, as applicable.
- (5) Notice of the provisions of (4)(b) and (c), above, if applicable, may be provided by wall signage rather than by table signage.

**V. Drop Boxes.**

- (1) Each table for house banked poker games in the Gaming Facility shall have attached to it a metal container known as a drop box, in which shall be deposited all cash, documents evidencing fills and credits, requests for fills and credits, and card game inventory forms.
- (2) Each drop box shall have:
  - (a) one separate lock securing the contents placed into the drop box, the key to which shall be different from any other key;
  - (b) a separate lock securing the drop box to the gaming tables, the key to which shall be different from the key to the lock securing the contents of the drop box;
  - (c) an opening through which currency, coins, tokens, forms, records and documents can be inserted into the drop box;
  - (d) permanently imprinted or impressed thereon, and clearly visible, a number corresponding to a permanent number on the house banked poker game table to which it is attached, and a marking to indicate game type, table number, and shift, except that emergency drop boxes may be maintained without such number or marking, provided the word “emergency” is permanently imprinted or impressed thereon and, when put into use, are temporarily marked with the number of the table and identification of the game and shift.

**W. Playing Cards.**

- (1) One or more decks of cards may be utilized for play in a house banked poker game.
- (2) If expressly permitted by the rules of play of a house banked poker game, a hand may consist of either fewer than five cards or more than five cards. The rank of poker hands containing other than five cards shall be specified by the rules of play of each house banked poker game permitting such hand.
- (3) If expressly permitted by the rules of play of a house banked poker game, a joker(s) may be used as specified by the rules of play of each house banked poker game permitting the use of such card(s).
- (4) The Gaming Facility Operator may use a second alternating deck of playing cards that has a different color of back than the first deck of playing cards. When two (2) alternating decks of cards are utilized with an automatic card shuffler, one (1) deck of cards should be placed in play while the second deck of cards is placed in the automatic card shuffler. The two (2) decks of cards with different color backs must be alternated in and out of play with each deck

being used for alternate rounds of play. The cards from only one (1) deck of cards shall be placed in the discard rack at a given time.

- (5) A house banked poker game may be played with decks of cards that have been modified from standard 52 card decks (i.e., cards have been removed from or added to a standard 52 card deck), but any modifications must be performed at the table where the cards will be put into play and performed such that the process may be viewed and recorded by the surveillance system.

**X. Shoes and Shuffling Devices.**

- (1) A shoe and shuffling device shall be used at each table used for house banked poker games. The shoe shall be designed and constructed to maintain the integrity of the house banked poker game. Shoes shall have a cover on the face of the device that serves to obscure the back of the cards in the shoe. The back of the cards do not need to be completely obscured, but may be exposed to the extent necessary to permit the cards to be dealt from the shoe. The shoe and automated shuffling device may be combined as one operating device. If a shuffling device malfunctions, the Gaming Facility Operator shall have a reasonable time to repair or replace the shuffling device during which time the dealer may shuffle the cards by hand and deal without the use of a shoe in accordance with procedures approved by the Tribal gaming Office; provided, however, that this limited exception shall not apply to any house banked poker game that utilizes a progressive meter.
- (2) Shoes and shuffling devices in the Gaming Facility shall be inspected each gaming day before play commences to ensure that the shoe or shuffling device is not damaged, is operating properly, and has not been compromised in any manner which might affect the integrity of the house banked poker game.

**Y. Wagers.**

- (1) No more than ten players shall be allowed to make wagers at any single table used for house banked poker games for any given hand.
- (2) Wagers shall not exceed totals allowed pursuant to Section 3(m)(3) of the Compact as follows: wager limits for house banked poker games shall not exceed \$250.00, except that the wager limits can be between \$250.00 and \$500.00 for, at most, ten (10) tables. Any house banked poker game table with a wager limit between \$250.00 and \$500.00 shall count against the ten (10) table limit set forth in Compact Section 3(m)(3)(A).
- (3) For house banked poker games with wager limits of \$250.00 or less, the total combined amount of the initial wagers and any other wagers placed by the patron during the play of one hand may not

exceed \$250.00. For house banked poker games with wager limits between \$250.00 and \$500.00, the total combined amount of the initial wagers and any other wagers placed by the patron during the play of one hand may not exceed \$500.00.

- (4) The wager limits of \$250.00 and \$500.00 shall be adjusted pursuant to Section 3(m)(4) of the Compact.
- (5) Wagers in a house banked poker game shall not alter the primary basis of the game from poker, and shall not require or introduce into the game any additional game or game play beyond the game of poker.
- (6) All paper currency and coin (only US currency) shall be exchanged for chips or tokens by the dealer prior to a wager being made.
- (7) The minimum and maximum wagers shall be conspicuously posted at each table.
- (8) The Gaming Facility Operator, at its discretion, may change the minimum and/or maximum wagers at any table, provided that the players that are already playing at the table shall not be required to abide with the new minimum. Any player may choose to bet the new maximum.

**Z. Wagering Rules.**

- (1) No wager shall be increased, decreased, or withdrawn after the first card of a round has been dealt, unless such alteration or removal of a wager is authorized under the rules of a house banked poker game or the dealer approves such an alteration or removal of a wager in accordance with the Gaming Facility Operator's approved procedures. All wagers at house banked poker games shall be made by placing gaming chips, tokens, valid free play coupons, valid match play coupons, or any combination thereof, on the appropriate areas of the table layout. No other types of wagers shall be permitted. In a house banked poker game, a player may make an additional, optional wager(s) in addition to the initial wager. The minimum and maximum amount of the additional optional wager(s) shall be displayed on the table layout or on table signage. The additional optional wager(s) shall not involve any play, activity, or event other than the play that occurs during the round of play for which the optional wager is made.
- (2) The Gaming Facility Operator may preclude a person who has not made a wager on the first round of play from entering the house banked poker game on a subsequent round of play prior to a reshuffle of the cards occurring. Any person permitted by the Gaming Facility Operator to enter the house banked poker game after the first round of cards is dealt may be limited by the Gaming

Facility Operator to a wager of the minimum limit posted at the table until the cards are reshuffled and a new deal is commenced.

- (3) Any player who, after placing a wager on any given round of play, declines to place a wager on any subsequent round of play may be precluded by the Gaming Facility Operator from placing any further wagers until that shoe of cards is completed and a new shoe is commenced.

**AA. Handling of Wagers.**

Once the first card of the hand has been received by the first player to receive a card, no player shall handle, remove, or alter any wagers that have been made until the hand has been completed unless such action is authorized under the rules of a house banked poker game or the dealer or house banked poker game supervisor or management employee approves such an alteration or removal of a wager in accordance with the Gaming Facility Operator's approved procedures.

**BB. Players Wagering on More than One Hand.**

- (1) A Gaming Facility Operator may permit a player to wager on more than one hand to be played by such player or may limit multiple plays.
- (2) Multiple hands played by any one player shall be in contiguous playing positions at the table; there shall be no other players seated at positions between the hands being played by a player.

**CC. Game Drop and Count Standards.**

- (1) A card game drop shall be performed at the end of each shift. Times for the card game drop and count shall be submitted to the Tribal Gaming Office for approval, and the Tribal Gaming Office shall provide a copy to the State Gaming Agency. Card game drop and count shall be conducted only at the scheduled times, except for emergency drops.
- (2) The Tribal Gaming Office shall be notified prior to performing any emergency drop. A written record shall be maintained of all emergency drops indicating the reason, persons involved, date and time.
- (3) Any permanent change to the drop and/or count times shall be submitted to the Tribal Gaming Office for approval prior to any change being implemented by the Gaming Facility Operator. The Tribal Gaming Office shall immediately notify the State Gaming Agency of any approved changes.

**DD. House Banked Poker Game Tournaments.**

- (1) The Gaming Facility Operator may conduct house banked poker game tournaments. At such tournaments only house banked poker

games approved and authorized by the Tribal Gaming Office and the State Gaming Agency may be played. The rules of play of each tournament house banked poker game shall follow the standard rules of play of each house banked poker game.

- (2) The Gaming Facility Operator shall submit for approval to the Tribal Gaming Office operational standards, rules and procedures to govern the conduct and play of any house banked poker game tournament. The Tribal Gaming Office shall review and issue a letter either approving or disapproving the operational standards, rules and procedures prior to the beginning of tournament play.
- (3) Copies of tournament standards, rules and procedures shall be provided to the State Gaming Agency prior to tournament play for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed standards, rules and procedures. If the State Gaming Agency does not object within seven (7) days, then the standards, rules and procedures are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and the State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections. Unresolved objections to any proposed standards, rules and procedures shall be resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.
- (4) The operational standards, rules and procedures for the conduct of tournament play shall be:
  - (a) Available to all tournament players prior to the beginning of the tournament.
  - (b) Posted in a conspicuous location.
- (5) The operational standards, rules and procedures shall include but are not limited to:
  - (a) Qualification or selection criteria which limit the eligibility of tournament players;
  - (b) Regulations of the tournament (e.g., beginning and ending times, number of rounds, lapse of rounds, entry fee, elimination factors, cash handling procedures, etc.); and
  - (c) Prizes to be awarded.

**EE. Entry Fee and Player Buy-In.**

- (1) House banked poker game tournament entry fees and buy-ins shall be documented on a tournament entry fee and buy-in log. The following information, at a minimum, shall be recorded on the log at



the time the entry fee or buy-in is conducted: name of patron and amount of the entry fee or buy-in.

- (2) Neither the amount of the tournament entry fee nor the amount of all allowable player buy-ins shall exceed five hundred dollars, unless a greater amount is approved by the Tribal Gaming Office and reported to the State Gaming Agency. If both an entry fee and buy-ins are used at a single tournament, then the combined amount of both the entry fee and all allowable buy-ins shall not exceed five hundred dollars, or the amount approved by the Tribal Gaming Office and reported to the State Gaming Agency.