

§ 543.11

25 CFR Ch. III (4-1-13 Edition)

- (ii) Date of payout;
- (iii) Dollar amount of payout and/or nature and dollar value of any non-cash payout;
- (iv) The signature of the agent completing the transaction attesting to the disbursement of the payout; and
- (v) Name of contest/tournament.

(4) If the cash (or cash equivalent) payout for the card game promotional progressive pot and/or pool is less than \$600, documentation must be created to support accountability of the bank from which the payout was made.

(5) Rules governing current promotional pools must be conspicuously posted in the card room and/or available in writing for patron review. The rules must designate:

- (i) The amount of funds to be contributed from each pot;
  - (ii) What type of hand it takes to win the pool;
  - (iii) How the promotional funds will be paid out;
  - (iv) How/when the contributed funds are added to the pools; and
  - (v) Amount/percentage of funds allocated to primary and secondary pools, if applicable.
- (6) Promotional pool contributions must not be placed in or near the rake circle, in the drop box, or commingled with gaming revenue from card games or any other gambling game.
- (7) The amount of the pools must be conspicuously displayed in the card room.
- (8) At least once each day that the game is offered, the posted pool amount must be updated to reflect the current pool amount.
- (9) At least once each day that the game is offered, agents independent of the card room must reconcile the increases to the posted pool amount to the cash previously counted or received by the cage.
- (10) All decreases to the pool must be properly documented, including a reason for the decrease.
- (11) Promotional funds removed from the card game must be placed in a locked container.
- (i) Agents authorized to transport the locked container are precluded from having access to the contents keys.

(ii) The contents key must be maintained by a department independent of the card room.

(iii) At least once a day, the locked container must be removed by two agents, one of whom is independent of the card games department, and transported directly to the cage or other secure room to be counted, recorded, and verified, prior to accepting the funds into cage accountability.

(h) *Variances*. The operation must establish, as approved by the TGRA, the threshold level at which a variance must be reviewed to determine the cause. Any such review must be documented.

§ 543.11 [Reserved]

§ 543.12 **What are the minimum internal control standards for gaming promotions and player tracking systems?**

(a) *Supervision*. Supervision must be provided as needed for gaming promotions and player tracking by an agent(s) with authority equal to or greater than those being supervised.

(b) *Gaming promotions*. The rules of the gaming promotion must be displayed or made readily available to patron upon request. Gaming promotions rules require TGRA approval and must include the following:

- (1) The rules of play;
- (2) The nature and value of the associated prize(s) or cash award(s);
- (3) Any restrictions or limitations on participant eligibility;
- (4) The date(s), time(s), and location(s) for the associated promotional activity or activities;
- (5) Any other restrictions or limitations, including any related to the claim of prizes or cash awards;
- (6) The announcement date(s), time(s), and location(s) for the winning entry or entries; and
- (7) Rules governing promotions offered across multiple gaming operations, third party sponsored promotions, and joint promotions involving third parties.

(c) *Player tracking systems and gaming promotions*.

- (1) Changes to the player tracking systems, promotion and external bonusing system parameters, which control features such as the awarding

of bonuses, the issuance of cashable credits, non-cashable credits, coupons and vouchers, must be performed under the authority of supervisory agents, independent of the department initiating the change. Alternatively, the changes may be performed by supervisory agents of the department initiating the change if sufficient documentation is generated and the propriety of the changes are randomly verified by supervisory agents independent of the department initiating the change on a monthly basis.

(2) All other changes to the player tracking system must be appropriately documented.

(d) *Variances*. The operation must establish, as approved by the TGRA, the threshold level at which a variance must be reviewed to determine the cause. Any such review must be documented.

**§ 543.13 What are the minimum internal control standards for complimentary services or items?**

(a) *Supervision*. Supervision must be provided as needed for approval of complimentary services by an agent(s) with authority equal to or greater than those being supervised.

(b) *Complimentary services or items*. Controls must be established and procedures implemented for complimentary services or items that address the following:

(1) Agents authorized to approve the issuance of complimentary services or items, including levels of authorization;

(2) Limits and conditions on the approval and issuance of complimentary services or items;

(3) Making and documenting changes to conditions or limits on the approval and issuance of complimentary services or items;

(4) Documenting and recording the authorization, issuance, and redemption of complimentary services or items, including cash and non-cash gifts;

(i) Records must include the following for all complimentary items and services equal to or exceeding an amount established by the gaming operation and approved by the TGRA:

(A) Name of patron who received the complimentary service or item;

(B) Name(s) of issuer(s) of the complimentary service or item;

(C) The actual cash value of the complimentary service or item;

(D) The type of complimentary service or item (i.e., food, beverage); and

(E) Date the complimentary service or item was issued.

(ii) [Reserved]

(c) Complimentary services and items records must be summarized and reviewed for proper authorization and compliance with established authorization thresholds.

(1) A detailed reporting of complimentary services or items transactions that meet an established threshold approved by the TGRA must be prepared at least monthly.

(2) The detailed report must be forwarded to management for review.

(d) *Variances*. The operation must establish, as approved by the TGRA, the threshold level at which a variance must be reviewed to determine the cause. Any such review must be documented.

**§ 543.14 What are the minimum internal control standards for patron deposit accounts and cashless systems?**

(a) *Supervision*. Supervision must be provided as needed for patron deposit accounts and cashless systems by an agent(s) with authority equal to or greater than those being supervised.

(b) *Patron deposit accounts and cashless systems*.

(1) Smart cards cannot maintain the only source of account data.

(2) *Establishment of patron deposit accounts*. The following standards apply when a patron establishes an account.

(i) The patron must appear at the gaming operation in person, at a designated area of accountability, and present valid government issued picture identification; and

(ii) An agent must examine the patron's identification and record the following information:

(A) Type, number, and expiration date of the identification;

(B) Patron's name;

(C) A unique account identifier;

(D) Date the account was opened; and

(E) The agent's name.