



STGC REGULATIONS

SILETZ TRIBAL GAMING COMMISSION

APPROVED REGULATIONS

ADOPTED BY:

RESOLUTION No. 2014-074

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SILETZ TRIBAL GAMING COMMISSION

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Definitions:

All words used in this Regulation shall be used in their ordinary and everyday meaning unless explained or defined differently in the section the word appears in.

Advertising, Media and Marketing means any media, marketing or public relations companies (including but not limited to broadcast radio, television, cable, outdoor advertising venues, newspaper, trades, print media, internet, public relations or promotional firms, advertising agencies, direct mail companies or facilities, printing companies, and any individual, group, freelance, or agency) that is paid or reimbursed for the purpose of advertising, marketing or promoting the Gaming Operation(s). Advertising, media and marketing activities may take place either on or off tribal lands, and includes events and promotions which are endorsed, supported or sponsored by the Gaming Operation(s).

Amendment means those games that do not require a new set of rules and regulations.

Applicant means any person or entity seeking a license from the Commission.

Associated with the Tribe's Gaming Operation(s) includes employees and managers of the Tribal Gaming Operation(s), patrons, persons, companies or other vendors doing business with the Gaming Operation(s), the Siletz Tribal Council, consultants, and the Gaming Operation(s) itself.

Background Investigation means the personal, criminal and financial history

checks of an employee, applicant or a person required to qualify for a gaming license.

Bribe means something offered in order to influence a person illegally or improperly to act in favor of the giver.

Candle means a mechanism on the top of slot machines that indicates machine status.

Charter means the Charter of the Siletz Tribal Gaming Enterprise, Ordinance Number §6.60 as amended July 16, 2010.

Chips mean cash substitutes, in various denominations, issued by a Gaming Operation(s) and used for wagering.

Class II Gaming

(a) The game of chance commonly called bingo or lotto (whether or not electronic, computer, or other technological aids are used) when players:

- (1) Play for prizes with cards bearing numbers or other designations;
- (2) Cover numbers or designation when objects, similarly numbered or designated, are drawn or electronically determined; and
- (3) Win the game by being the first person to cover a designated pattern on such cards.

(b) If played in the same location as bingo or lotto, pull-tabs, punch boards, tip jars, instant bingo, and other games similar to bingo.

(c) Non-banking card games that:

- (1) State law explicitly authorizes, or does not explicitly prohibit, and are played legally anywhere in the state; and
- (2) Players play in conformity with state laws and regulations concerning hours, periods of operation, and limitations on wagers and pot sizes.

Class II Gaming Vendor means any vendor which provides goods and/or services to the Gaming Operation(s) which are solely related to the conduct or operation of Class II gaming activities as defined by IGRA

Class III Gaming means all forms of gaming not classified Class I or II, including but not limited to:

- (a) Table games;
- (b) Keno;
- (c) VLT's;
- (d) Any sports betting and pari-mutuel wagering; or
- (e) Lotteries.

Class III Gaming Vendor means any vendor which provides goods and/or services which are related to the conduct or operation of Class III gaming activities as defined by IGRA. Any vendor which provides services to more than one type of gaming as defined by IGRA, including Class III Gaming, shall be defined as a Class III Gaming Vendor under this regulation.

Commission means the Siletz Tribal Gaming Commission.

Compact means the approved agreement pursuant to the Indian Gaming Regulatory Act between the Tribe and the State of Oregon for regulation of Class III Gaming.

Compacted Position means any Primary Management Official or position that requires a High Security Class III Gaming license, excluding Class II, STGC High Security and Low Security Non-Gaming.

Complaint means an allegation of a possible violation of any relevant laws, Compact, ordinances, regulations, internal controls, or policies and procedures. It can also include any disagreement between a customer and the Gaming Operation(s) concerning gaming rules, rules of play and is by its nature a regulatory issue rather than an operational issue.

Compliance Issue means the discovery or report of activity or actions that might, if substantiated and not remedied, be determined to be a violation of laws, regulations, Compact, ordinances, internal controls, or policies and procedures affecting the fairness, integrity, security or honesty of the Gaming Operation(s).

Complimentary items (Comps) are items and services that may include, but are not limited to, travel, lodging, food, beverages, or entertainment expenses, which are issued or authorized for the purpose of attracting new patrons, rewarding frequent patrons, retaining existing patrons, or which are otherwise issued or authorized to advance the business purposes of the Gaming Operation(s).

Consultant means any person or entity that enters into a vendor relationship with the Gaming Operation(s) for the purpose of providing professional and/or technical advice, recommendations and/or training on any subject or issue. A consultant who provides consultant services involving Class II Gaming activities shall be classified as a Class II Gaming Vendor. A consultant who provides consultant services involving Class III Gaming activities shall be classified as a Class III Gaming Vendor.

Council means the Siletz Tribal Council, acting pursuant to the authority delegated to it by the Siletz Constitution.

Counterfeit chip means any chip-like object(s) that is not approved pursuant to this regulation.

Cursory Review means a minimal review of criminal history.

Customer Dispute means a disagreement between a customer and the Gaming Operation(s) concerning the payment or non-payment of prizes and is by its nature an operational issue rather than a regulatory issue.

Entertainment means any individual, group, promoter, agency or company that is paid or reimbursed for the purpose of performing for Gaming Operation(s) patrons or guests within the Gaming Operation(s) (including but not limited to the Show Room, Convention Center, RRR, Lounge, and Casino floor) or on Tribal lands.

EPROM(s) means the Erasable Programmable Read-Only Memory.

Executive Director means the Executive Director of the Siletz Tribal Gaming Commission.

Gaming Agent means a regulatory agent of the Commission.

Gaming Council means the activity of the Tribal Council or of a Tribal Council member acting in their Gaming Operation Oversight Role. It does not include the activity of the Tribal Council or of a Tribal Council member acting in their tribal governmental role.

Gaming Court means the Siletz Tribal Gaming Court which has jurisdiction over dispute appeals or claims by patrons of the Gaming Operation(s) involving the payment or non-payment of prizes from gaming activities.

Gaming Operation(s) means any location or activity in connection with gaming including any property used to store gaming equipment, supplies or records.

Gift means a thing given or received without payment.

High Security Class III Employee means any person who participates in the operation or management of the Class III Tribal Gaming Operation(s), whether employed by the Tribe or by a person or entity providing on-site or off-site operation or management services to the Tribe, including but not limited to: Gaming Operation(s) administrators, managers and assistant managers, Gaming Operation(s) surveillance or security personnel, dealers, croupiers, shift supervisors, cage personnel (including

cashiers and cashier supervisors), drop and count personnel, slot technicians, and any other person whose employment duties require or authorize access to areas of the Gaming Operation(s) related to Class III Gaming and which are not otherwise open to the public.

Key Employee means any officer or person who can substantially affect the course of business, make decisions, or is in a sensitive position in an organization or corporation that is a Class III Gaming Contractor or an applicant for a Class III Gaming license.

Kickback means a payment made to a person in a position of trust to influence or corrupt judgment.

Kobetron means a device that verifies the code on Games Software Media using an internal mathematical formula and displays a format of numbers and letters.

Licensing Agent means the Commission employee assigned to ensure that the licensing provisions of these regulations are accomplished.

Licensed Employee means an employee of the Gaming Operation(s) who has been issued a gaming license from the Commission.

Low Security Gaming Employee means any employee of the Gaming Operation(s) whose duties require the employee's presence in any area of the Gaming Operation(s) where Class III Gaming activities take place, but who is not a Class III Employee.

Low Security Non-Gaming

Employee means any non-compacted employee whose duties do not require the employee's presence in any areas of the Gaming Operation(s) where Class III Gaming activities take place.

MICS (Minimum Internal Control Standards) means a system of internal control that meets or exceeds the TICS and complies with all applicable laws.

New Games are games that require new rules and regulations.

Non-working hours means any time that the Commission office is closed.

Notification means to inform the Commission either verbally or in writing as required.

Non-Gaming Vendor means any vendor which provides goods and/or services to the Gaming Operation(s) that are not related to gaming activities.

Office of Hearings and Appeals means the entity within the Commission comprised of the Hearings Officers, when acting in its capacity to hear appeals or hold hearings.

On-call Gaming Agent means a Gaming Agent who has been assigned by the Commission to receive notifications during non-working hours. A monthly list of the on-call Gaming Agents will be provided to Gaming Operation(s) management.

OSP means the Oregon State Police, Tribal Gaming Section.

Permit means a written authorization issued to a non-gaming vendor on an annual basis, authorizing such vendor to conduct business with the Gaming Operation(s).

Policy means a method of action to guide and determine present and future decisions to comply with regulations, rules and procedures.

Primary Management Official (PMO) means any person who:

(a) Has administrative or high-level management responsibility for part or all of the Class III Tribal Gaming Operation(s), whether as an employee or under management contract;

(b) Has authority to hire and fire supervisory employees; or to set or otherwise establish working policy for the Gaming Operation(s); or

(c) Is the General Manager, Director of Casino Operations, Director of Finance, Director of Security, or other person(s) who has financial management responsibility for the Gaming Operation(s).

Primary Management Official does not include a person or entity that does not have decision-making authority with regard to a Class III Gaming Operation(s).

Procedure means the mode of proceeding or a series of steps to be followed in definite order to accomplish a task and/or comply with a regulation.

Professional Services means services provided to the Gaming Operation(s) by professionals in the area of their expertise

that do not directly involve gaming activities, including but not limited to legal, medical, accounting, financial institutions, education, human resources and the like.

Promotional Chip means a chip-like object issued by the Gaming Operation(s) for use in promotions or tournaments at the Gaming Operation(s).

Promulgation means the drafting, announcement, review and internal adoption within the Commission in proposed form of any new or existing Commission regulation, rule, policy or procedure.

Regulation means requirements adopted by the Commission and approved by the Siletz Tribal Council that are promulgated in order to guide and control the activity or the manner in which the Commission and Gaming Operation(s) implement and comply with applicable laws, rules, regulations, policies and procedures. Rules shall be considered as regulations.

Report means any informational work made with the specific intention of relaying information or recounting certain events.

Respondent means a person or entity, including the Gaming Operation(s), which is the subject of specific compliance or enforcement action.

Sanction means any official action taken to ensure compliance with all applicable laws, rules, regulations and provisions.

Slot conversion means the changing of a program or denomination on any Slot Machine.

Slot Machine means any variety of gaming device that is electric or electronic, which play a game involving an element of prize, chance and consideration, some of which are affected by skill, which is activated by insertion of currency, or by the use of credit, and which awards game credits, which are redeemable by a written statement or ticket for cash. The gaming device may be linked to a central computer for purposes of security, monitoring and auditing.

TICS (Tribal Internal Control Standards) means a system of internal control that ensures that the Gaming Operation(s) are in compliance.

Tribe means the Confederated Tribes of Siletz Indians of Oregon, and all departments, agencies, authorities, commissions, and enterprises of the Tribe.

Valid ID means at least one current document issued by federal government or a state, county, tribe, municipal or other local government and containing the person's photograph, signature and physical description.

Vendor means any person or business entity, which provides any goods and/or services to the Gaming Operation(s).

Violation means the failure to adhere to any law, Compact, ordinance, regulation, internal control, or policy and procedure affecting the fairness, integrity, security, or honesty of the Gaming Operation(s).

Regulation, Chapter 0

Adopted by STGHC Resolution No. 2003-011 dated 04/11/03

Adopted by STC Resolution No. 2003-148 dated 04/11/03

Adopted by STGHC Resolution No. 2004-16 dated 04/29/04

Adopted by STC Resolution No. 2004-209 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 0

REGULATIONS: PROMULGATION AND ADOPTION PROCEDURE

0.1 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure that Commission regulations, rules, policies and procedures are properly promulgated and adopted in order to fulfill the duties and responsibilities of the Siletz Tribal Gaming Commission pursuant to §6.105(b) and (f) in the Charter of the Siletz Tribal Gaming Enterprise as amended.

This regulation is intended to establish a process that ensures the regulations, rules, policies and procedures promulgated by the Commission are properly adopted and in legal effect in accordance with the process set out in the Charter of the Siletz Tribal Gaming Enterprise.

The ultimate purpose of this regulation is to protect tribal members, tribal assets and the public at large, to strengthen and preserve tribal government, tribal sovereignty, and to enhance the health, education and general welfare of the Siletz Tribe and tribal members while promoting economic self-sufficiency and development.

0.2 PROMULGATION OF PROPOSED REGULATIONS, RULES, OR POLICIES BY THE COMMISSION

0.2.1 Regulations, rules and policies shall be proposed and drafted as necessary and appropriate for the Commission to carry out its duties and responsibilities as necessary and appropriate to comply with applicable laws and policies.

0.2.2 Under the Charter of the Siletz Tribal Gaming Enterprise, the primary responsibility for drafting and amendment of Commission regulations, rules, policies and procedures lies with the Commission. The Commission may delegate the drafting of rules, regulations, policies and procedures to Commission staff. The Commission hereby adopts as Commission policy the presumption that Commission policies and procedures will be drafted by Commission staff in the first instance, pursuant to assignment made by the Executive Director. The

normal roles of the Commission will be to review and modify if needed, drafts prepared in the first instance by Commission staff.

- 0.2.3 The need for new or amended Commission regulations, rules, policies or procedures may be initiated by the Commission staff, Commission Executive Director, Siletz Tribal Council, Gaming Operation(s), or by any interested person or entity. The new or amended regulation, rule or policy shall be submitted in writing in draft form to the Commission for review, modification or adoption by the Executive Director as appropriate. The Siletz Tribal Council may request that the Commission arrange for new or amended regulations, rules, or policies pursuant to this section. In the event the Commission does not complete the promulgation within a reasonable amount of time after the request has been made, the Tribal Council may take action on its own to adopt or amend any Commission regulation, rule, or policy.
- 0.2.4 The Executive Director will review any draft proposed regulation, rule, or policy within 30 days after receiving the draft. When the Executive Director is satisfied with the draft of a proposed regulation, rule, or policy, the Executive Director will issue an order adopting the proposed regulation, rule, or policy in the form of “Notice of Proposed Regulation, Rule, or Policy”.
- 0.2.5 The Commission will publish and post the proposed regulation, rule, or policy for the public to review and comment. Any proposed changes will be posted publicly at the Commission office, Gaming Operation(s) and Tribal Area offices, and the Commission will attempt to send by regular mail, to any person or entity that the Commission reasonably believes will or may be affected by the proposal. The deadline for submission of written comments shall be 30 days from the date of posting. At its discretion the Commission may hold a public hearing to receive comments on any draft regulation, rule, or policy. In such event the date, time and location of said public hearing shall be disseminated so as to encourage broad participation.
- 0.2.6 The Commission shall have 15 days after the completion of any written comment period or public hearing, whichever is later, to review all comments received and to prepare a final proposed draft of the regulation, rule, or policy. The Executive Director shall within 15 days after preparation of the final draft, issue an order adopting or rejecting in whole or in part, the proposed regulation, rule, or policy in final proposed form. The proposed regulation, rule, or policy shall then be transmitted to the Siletz Tribal Council for adoption or other action. This will complete the Commission’s promulgation process.

0.3 TRIBAL COUNCIL ADOPTION OF PROPOSED REGULATIONS, RULES, OR POLICIES

- 0.3.1 The Siletz Tribal Council is responsible for final approval of any Commission regulation, rule, or policy. Any Commission regulation, rule, or policy shall not be in effect until it has been formally approved by Tribal Council resolution, except as set forth below in section 0.4 and 0.5.
- 0.3.2 Upon receipt of a proposed regulation, rule, or policy from the Commission, the Tribal Council shall schedule time at a Tribal Council meeting, after the tribal attorney has reviewed the proposed regulation, rule, or policy and submitted his or her comments to Tribal Council for consideration. The Executive Director of the Commission shall provide the Tribal Council at its monthly Gaming Tribal Council meeting with a list of all Commission proposed regulations, rules, policies that have been formally submitted to the Tribal Council for further action, but which have not yet been finalized. The Tribal Council shall approve or reject in whole or in part, any proposed new or amended regulation, rule, or policy by the Tribal Council Resolution. The Tribal Council may make any policy changes it deems appropriate prior to final passage, and may return a proposed regulation, rule, or policy to the Commission for further modification or change.
- 0.3.3 Upon formal approval of a Commission regulation, rule, or policy by the Tribal Council under this section, the Tribal Council Executive Secretary shall transmit a copy of the enacted regulation, rule, or policy, along with a copy of the Tribal Council Resolution, to the Commission Executive Director. The Commission will publish and distribute copies of the final regulation, rule, or policy to every person or entity that submitted comments during the promulgation process. Copies of any final regulations, rules, and policies will also be provided to Tribal Council, all tribal gaming operations, the tribal attorney, the Commission, and the Tribal Court, and will be published on the Tribe's and Commission's websites.
- 0.3.4 A formally approved Commission regulation, rule, or policy shall normally take effect 15 days after passage of the Tribal Council Resolution. The Tribal Council, or Commission Executive Director, by formal action, may provide that the regulation, rule, or policy take effect at an earlier or later time. If an affected person or entity needs more time to put the regulation, rule, or policy into effect, they must request an extension in writing from the Commission Executive Director for consideration.

0.4 EMERGENCY ENACTMENT OF COMMISSION REGULATIONS, RULES, OR POLICIES

- 0.4.1 Pursuant to §6.105(b) of the Charter, the Commission Executive Director may provide for the immediate enactment of a Commission regulation, rule, or policy when the Executive Director determines that an emergency exists. In such event, the Executive Director shall issue an order adopting a regulation, rule, or policy by formal approval and provide for its immediate implementation, and shall include a statement setting out the nature of the emergency and the need for immediate implementation of the regulation, rule, or policy.
- 0.4.2 Whenever a regulation, rule, or policy is adopted on an emergency basis under this section, copies of the regulation, rule, or policy will be given directly to any person, entity, or gaming operation directly affected.
- 0.4.3 At the time that the emergency regulation, rule, or policy is adopted by the Executive Director, it shall be immediately transmitted to the Siletz Tribal Council for the Council's review and action. The emergency regulation, rule, or policy shall terminate unless approved by Tribal Council Resolution at its next regularly scheduled Tribal Council meeting. Termination of a regulation, rule, or policy under this section does not prevent the Executive Director from thereafter submitting the proposed regulation, rule, or policy to the Tribal Council for approval under the normal approval process set out in this regulation.
- 0.4.4 The Tribal Council may, as it deems appropriate, take emergency action to provide for the immediate implementation or suspension of any Commission regulation, rule, or policy.

0.5 PROMULGATION OF INTERNAL PROCEDURES BY THE COMMISSION

- 0.5.1 The intent of this regulation is that the promulgation of procedures shall be as formal or informal as necessary and appropriate, as determined by the discretion of the Commission Executive Director. The Commission, shall as appropriate in its discretion, follow the provisions of this regulation set out for Commission promulgation of regulations, rules, and policies except as expressly provided otherwise in this section, including but not limited to notices of public hearings, and emergency adoption of procedures. Approved Commission procedures shall be provided to the Gaming Operation(s) and the tribal attorney.
- 0.5.2 The Commission may adopt any internal procedure as defined by this regulation as the Executive Director deems appropriate and necessary. Such procedure shall become effective upon approval by the Executive Director. The Commission will transmit any approved, amended or rescinded procedures to the Tribal Council, with a copy to the tribal attorney, for the Council's information and review. The Tribal Council shall have the authority to reject any procedure transmitted to it by

the Commission, by Tribal Council Resolution passed within 45 days from the date the procedure has been transmitted to the Tribal Council. If not expressly rejected by the Tribal Council, the procedure will remain in effect.

0.6 AMENDMENTS OR RECISSION OF COMMISSION REGULATIONS, RULES, OR POLICIES

0.6.1 The Commission may propose that any Commission regulation, rule, or policy or portion thereof, be amended or rescinded. In such case the Commission shall follow the process set out in this regulation for adoption and approval of a new or amended regulation, rule, or policy. Any such amendment or rescission requires a Tribal Council Resolution to be final and effective. If the Tribal Council does not approve the proposed amendment or rescission, the existing regulation, rule, or policy remains in effect.

0.6.2 Proposed amendments and rescission of Commission regulations, rules, or policies shall also be subject to the public comment and public hearing requirements of this regulation.

0.7 ORGANIZATION AND FORMAT REQUIREMENTS FOR COMMISSION REGULATIONS, RULES, POLICIES AND PROCEDURES

0.7.1 Times New Roman 12 pt. shall be the standard font type and size to be used on all Commission regulations, rules, policies and procedures.

0.7.2 Proposed regulations shall be identified as “DRAFT” (Draft #), shall include the date of the draft and the initials of the Author, the draft number, and shall state “PROPOSED REGULATION [RULE, POLICY OR PROCEDURE] and submitted in layout format similar to this Regulation.

0.7.3 Final approved Commission regulations, rules, policies and procedures shall be formatted by the Commission according to these requirements prior to formal publication.

0.8 MISCELLANEOUS PROVISIONS

0.8.1 Should any provision of the Commission regulation, rule, policy and procedure, or the application thereof, to any person, entity or circumstance be determined to be invalid, the invalid provision shall be severed from the regulation, rule, or policy and procedure and the remaining provisions of the regulation, rule, or policy and procedure shall remain in legal force or effect unless the Tribal Court determines otherwise.

Regulation, Chapter 1

Adopted by STGHC Resolution No. 2003-019 dated 06/05/03

Adopted by STC Resolution No. 0000-000 dated 00/00/00

Adopted by STGHC Resolution No. 2004-017 dated 04/29/04

Adopted by STC Resolution No. 2004-210 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 1

GENERAL PROVISIONS

1.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure the Commission fulfills the duties and responsibilities pursuant the Charter of the Siletz Tribal Gaming Enterprise.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for the regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

1.1 ROLE OF THE COMMISSION

- 1.1.1 The Commission is responsible for regulation of the Gaming Operation(s) of the Tribe and any other gaming activities within the jurisdiction of the Tribe.
- 1.1.2 The Commission's regulatory authority extends over all Gaming Operations of the Tribe, including the activities of the Tribal Council in its Gaming Operation Oversight Role as set forth in the Charter.
- 1.1.3 The Commission is constituted as an independent regulatory body of the Siletz Tribe, subject only to the oversight authority of the Council acting in its governmental capacity.
- 1.1.4 The Commission will ensure that the Gaming Operation(s) of the Tribe are operated in compliance with all applicable laws and regulations, and in a manner that protects the safety of employees and patrons and protects the integrity of all gaming activities.

- 1.1.5 The Commission shall adopt appropriate regulations, rules, or procedures, including necessary security procedures, for each gaming activity authorized by Council.
- 1.1.6 The Commission shall approve the internal controls adopted by each Gaming Operation for a particular gaming activity, and policies and procedures involving general operation of the Gaming Operation(s).

1.2 ORGANIZATION OF THE COMMISSION

- 1.2.1 There shall be one (1) Office of Hearings and Appeals Chairman, who shall be hired by Tribal Council. In addition to the Chairman of OHA, the hearings panel shall be comprised of two (2) tribal administrative appeals officers selected at random from the roster of eligible tribal administrative appeals officers maintained by the tribal government pursuant to the Administrative Procedures Ordinance, §2.700 et seq.
- 1.2.2 The day-to-day regulatory and administrative functions of the Commission will be administered by the Commission Executive Director.
- 1.2.3 The departments of the Commission shall include, but not limited to:
 - (a) Licensing;
 - (b) Compliance/Enforcement;
 - (c) Surveillance; and
 - (d) Auditing.

1.3 OFFICE HOURS OF OPERATION

- 1.3.1 The main office of the Commission is located at:
 - (a) Siletz Tribal Gaming Commission
2120 NW 44th, Suite A
Lincoln City, OR 97367
- 1.3.2 The hours of operation are as follows:
 - (a) 8:00 A.M. to 5:00 P.M. Monday through Friday
 - (b) The Commission is closed on legal holidays authorized by the Tribe.
 - (c) The Executive Director may adjust the hours of operation.

- (d) The Executive Director shall establish and maintain a schedule for the on-call Commission staff to ensure complete 24-hour coverage of the Gaming Operation(s).

1.4 CONFIDENTIAL INFORMATION

- 1.4.1 Access to confidential information within the possession of the Commission shall be restricted to employees of the Commission who require such information in the performance of their official duties.
- 1.4.2 All information and data furnished to or obtained by the Commission which relates to the internal controls, or the earnings or revenue of any applicant, or licensee, or which pertains to an applicant's criminal record, family or background, shall not be released or disclosed to any person except in accordance with the provision of this subchapter.
- 1.4.3 Any questions concerning whether or not a specific item of information or data within the possession of the Commission is deemed to be confidential information, or any other applicable statutory provision, judicial decision or rule of court, shall be submitted to the Commission for determination or referral to appropriate authorities.
- 1.4.4 Authorized personnel shall not remove confidential information from designated secure storage facilities unless such removal is necessary to the fulfillment of their official Commission duties. Confidential information, which is not presently being utilized by authorized personnel, shall be promptly returned to the secure storage facility.
- 1.4.5 The Commission shall establish and maintain a records retention schedule for all confidential information within its possession.
- 1.4.6 Any confidential information in possession of the Commission shall be promptly destroyed in accordance with the provision of the applicable retention records schedule required in the 1.4 subsection 1.4.5 of this regulation.
- 1.4.7 Confidential information within the possession of the Commission shall not be released or disclosed in whole or in part to any person, except:
 - (a) In the course of the necessary administration of the Gaming Ordinance, Tribal-State Compact, Indian Gaming Regulatory Act, or other applicable law;
 - (b) Upon lawful order of a court of competent jurisdiction;

- (c) Upon presentation of proper identification, by the applicant, registrant or licensee who furnished the confidential information to the Commission; or
- (d) Upon presentation of a duly executed and notarized release authorization by the applicant or licensee who furnished the confidential information, to any person making a written request for specifically identified confidential information.

1.5 COMMISSION ACCESS REQUIREMENTS

1.5.1 All authorized Commission employees shall be granted immediate access to any portion of the Gaming Operation(s). The Gaming Operation(s) shall make available to all authorized Commission employees, upon request, for purposes of examining or copying, if necessary:

- (a) All records pertaining to the operation, management and regulation of gaming;
- (b) Computer systems and data files; and
- (c) Gaming activities and related equipment.

1.6 OREGON STATE POLICE ACCESS REQUIREMENTS

1.6.1 The Gaming Operation(s) shall make available to any OSP officer, upon request and presentation of appropriate identification and in cooperation with the Commission, all areas of the Gaming Operation(s) and all records pertaining to the operation, management, and regulation of Class III Gaming for inspection and provide copies of pertinent documents if requested. General audits, audit information and follow-up letters are confidential proprietary information of the Tribe and may not be removed from the Commission's premises or photocopies made. OSP may make note of the information, however that information may not become part of any OSP record. All Gaming Operation records:

- (a) Shall at all times remain the property of the Tribe and shall not be subject to disclosure.
- (b) Shall be returned to the Commission immediately after use, in accordance with the Compact; and
- (c) Are confidential and shall without exception, be marked clearly and legibly, as follows:

“CONFIDENTIAL – These materials are confidential and shall remain at all times the property of the Confederated Tribes of Siletz Indians of

Oregon. These materials shall be returned to the Tribe immediately after the use for which they are obtained. These materials shall not be duplicated and/or disclosed to any other party without the Tribe's permission."

Regulation, Chapter 2

Adopted by STGHC Resolution No. 2003-035 dated 08/07/03

Adopted by STC Resolution No. 2003-392 dated 09/12/03

Adopted by STGHC Resolution No. 2004-18 dated 04/29/04

Adopted by STC Resolution No. 2004-320 dated 08/19/04

Adopted by STC Resolution No. 2013-259 dated 10/11/13

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 2

EMPLOYEE LICENSING

2.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure that the licensing of an employee, license or person required to be qualified for a license is done in a consistent manner and within the guidelines of the Compact and of the Tribal and Federal rules, regulations and laws and to ensure only qualified employees, licensees or other persons are issued license and allowed to possess a license. Also, to the extent consistent with protecting the honesty, integrity, fairness and security of the Tribe's gaming operation(s), the Commission shall act under this Chapter to encourage and maximize licensing opportunities for tribal members in tribal gaming operations.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

2.1 LICENSING OF GAMING OPERATION(S) EMPLOYEES

- 2.1.1. In accordance with the provisions of the Compact and Gaming Ordinance, all Gaming Operation(s) employees and any person seeking to conduct, operate, or manage any gaming activity on tribal lands, whether as an owner, operator, vendor or within the scope of a contractual agreement, shall apply for, and receive, all applicable licenses from the Commission prior to engaging in gaming activities.
- 2.1.2 Engaging in activities without first obtaining any required license, or after a license has expired, been rescinded, suspended, or revoked, shall be deemed a violation of the Gaming Ordinance and Regulations.
- 2.1.3 Approval of a license by the Commission constitutes an agreement on the part of the licensee to be bound by the Regulations as the same now are or hereafter may be amended or promulgated.

2.1.4 All Gaming Operation(s) employees shall be licensed by the Commission in accordance with all applicable laws.

2.1.5 A background investigation shall be performed with respect to all prospective Gaming Operation(s) employees.

(a) Prospective High and Low Security employees and Primary Management Officials shall provide the following information:

- (1) Full name, including any aliases by which the applicant has been known;
- (2) Social security number;
- (3) Date and place of birth;
- (4) Residential addresses for the past ten (10) years;
- (5) Employment history for the past ten (10) years;
- (6) Valid ID;
- (7) All licenses issued and disciplinary actions taken by any federal, state, local or tribal gaming agency;
- (8) All criminal proceedings, except for minor traffic offenses, to which the applicant has been a party;
- (9) A current photograph; and
- (10) Any other information required by the Commission.

(b) All prospective low security – non-gaming employees of the Gaming Operation(s), defined as gaming operation employees who do not meet the definition of Low Security employees under federal or tribal law or these regulations shall provide the following information:

- (1) Full name, including any aliases by which the applicant has been known;
- (2) Social security number;
- (3) Date and place of birth;

- (4) Current residential address;
- (5) Employment history for the last three (3) years;
- (6) Valid ID;
- (7) All criminal proceedings, except minor traffic offenses, to which the applicant has been a part for the last three (3) years, and any proceeding which alleged or involved an act that would be felony, for the last five (5) years;
- (8) Any other information required by the Commission.

2.1.6 In addition to the requirements listed, all prospective High and Low Security employees and Primary Management Officials shall provide a fingerprint card.

2.1.7 The Commission shall conduct an investigation on all Gaming Operation(s) employees. The level of investigation may vary depending on the security level of the employee. The Commission shall forward the applicant information for all High Security and Primary Management positions to the Oregon State Police. In the event that the Commission conducts a background investigation of a prospective High Security employee or Primary Management Official, it shall submit the completed report to the Oregon State Police within 60 days. The Oregon State Police may conduct a background investigation on all prospective Primary Management Officials and prospective High Security employees, and provide a written report to the Commission within a reasonable period of time, but in no event shall background checks by the Oregon State Police exceed 60 days without notice to the Commission.

2.1.8 Except as otherwise provided, the Commission shall deny a license to any Gaming Operation(s) employees as set forth below:

- (a) For High Security employees or Primary Management Officials, if they:
 - (1) Have, within the ten-year period preceding the date of the license application, committed any felony other than a traffic offense, whether or not the crime resulted in a conviction or any such conviction has been expunged, under the law of any federal, state or tribal jurisdiction, or is the subject of a civil judgment under the law of any federal, state or tribal jurisdiction that is based on facts that constitute the elements of a felony offense other than a traffic offense, in that jurisdiction;

- (2) Have committed a crime involving unlawful gambling under the law of any federal, state or tribal jurisdiction, whether or not the conviction of such a crime has been expunged, or is the subject of civil judgment under the law of any federal, state or tribal jurisdiction that is based on facts that constitute the elements of a crime involving unlawful gambling in that jurisdiction; or
- (3) Have associated in a direct business relationship, whether as a partner, joint venture or employer, with any other person who has committed a felony other than a traffic offense, or a crime involving unlawful gambling, under the law of any federal, state, local government or tribe within the last ten (10) years, provided that if a prospective employee was unaware of the offenses committed by such person, reported such activity to appropriate law enforcement officials when he or she became aware of the offenses and attempted to stop such offenses, or terminated his or her business relationship with such person within a reasonable time after discovering or learning of such offenses.
- (4) Were employed by any other person who has committed in the past ten (10) years a felony other than a traffic offense, or crime involving unlawful gambling, under the law of any federal, state, local government or tribal jurisdiction, if the prospective employee was in any way involved in or aware of the criminal activity as it occurred and did nothing to report or stop the activity or to remove himself or herself from association with such person.
- (5) Failed to disclose any material fact to the Commission or the Oregon State Police or their authorized agents during a background or security investigation, or misstated or falsified a material fact to the Commission or the Oregon State Police during a background or security investigation.

(b) For Low Security Employees, if they have violated any of the provisions of sub-section (a) (1) or (2) above.

2.1.9 In addition to the mandatory denial criteria set out in Section 2.1.8, the Commission may deny a license to any prospective High Security, Low Security, or Primary Management Official for any reason the Commission deems sufficient. The Commission may deny a license to any low security-non-gaming employee for any reason the Commission deems

sufficient. Such decisions to grant or deny a license shall be consistent with the principles set forth in §6.A of the Compact. In determining whether to deny a license to any prospective Gaming Operation(s) employee under this Section, the factors the Commission may consider shall include, but need not be limited to, the following:

- (a) The applicant has been convicted of any crime (other than a crime listed in §7.A.5 of the Compact) in any jurisdiction, or has any outstanding warrants for the applicant's arrest;
- (b) The applicant has associated with a person or business of known criminal background, or person of disreputable character, that may adversely affect the general credibility, honesty, integrity, security, fairness or reputation of the Gaming Operation(s);
- (c) There is any aspect of the applicant's past conduct that the Commission determines would adversely affect the honesty, integrity, security, or fairness of the Gaming Operation(s);
- (d) Other information deemed relevant to determine the suitability of the applicant for licensure.

2.1.10 No Primary Management Official shall be granted a license by the Commission until all background checks required under the Compact are completed.

2.1.11 Denial of a license by the Commission may be appealed to the Office of Hearings and Appeals within 15 calendar days of receipt of the denial action. The Commission shall include notice in any denial of such right to appeal.

2.1.12 The Commission will report to the Tribal Council on a periodic basis on the number of Siletz tribal members who are granted or denied licenses under this Chapter and the grounds (without names) for any denials.

2.2 WAIVER OF DISQUALIFYING CRITERIA

2.2.1 Notwithstanding the mandatory disqualification provisions of §7.A.5 of the Compact, if a prospective High Security or Low Security employee or Primary Management Official is disqualified for licensing or employment under the provisions of §7.A.5 of the Compact or Section 2.1.8 of this Regulation, and the Commission believes there are mitigating circumstances that justify waiver of the disqualifying factor, the Commission may directly request that the Oregon State Police waive the disqualifying criteria by giving written notice to the Oregon State Police asking to meet and confer concerning waiver of the disqualification,

provided, that waiver requests for Siletz tribal member prospective Gaming Operation employees shall be subject to Section 2.12(a) of this Ordinance. The Commission and the State shall meet within 15 days after written notice is given.

2.2.2 In order to waive disqualification of licensing of any prospective High Security or Low Security employee or Primary Management Official, both the Commission and the state must agree on the waiver.

2.2.3 Waiver of disqualification of licensing or employment may be based on one or more of the following circumstances:

- (a) Passage of time since conviction of a crime;
- (b) The applicant's age at time of conviction;
- (c) The severity of the offense committed;
- (d) The overall criminal record of the applicant;
- (e) The applicant's present reputation and standing in the community;
- (f) The nature of the position for which the application is made; and/or
- (g) The nature and seriousness of a misstatement or omission in the application.

2.2.4 In any waiver request made by the Commission under this Chapter, the Commission will describe in its waiver request how it believes the prospective High or Low Security Employee or Primary Management Official meets each of the waiver criteria set out in Section 2.2.3 of this Regulation, and shall include relevant documentation. The Gaming Commission shall report to the Tribal Council on the number of waiver requests forwarded under this regulation, with a breakdown of member versus non-member requests.

2.2.5 The Commission will report to the Tribal Council on a periodic basis the number of Siletz tribal members for whom waivers have been requested and/or processed, and the disposition or status of those waivers.

2.3 TEMPORARY LICENSING OF EMPLOYEES

2.3.1 The Commission may issue a temporary license to any prospective High Security or Low Security employees one (1) day after submission of a completed application and cursory review if the applicant would not be

disqualified on the basis of the completed application and cursory review. The Commission may issue a temporary license to any prospective low security – non-gaming employee immediately upon completion of initial background check of that employee. If the employee does not qualify for a permanent license, the Commission shall immediately void the temporary license and deny a permanent license. For a low security – non-gaming employee, the Commission shall consider whether to grant a conditional license instead.

2.3.2 The provisions of this paragraph shall apply to any consultant retained by the Tribe to consult on Class III gaming activities or on Primary Management Official functions or duties, if the consultant exercises any decision-making authority over Class III gaming activities at the Gaming Operation(s). A consultant shall be subject to immediate license revocation if the Oregon State Police or the Commission determines that the consultant does not meet the criteria for licensure under §7.A.5. of the Compact.

2.4 BACKGROUND INVESTIGATION DURING EMPLOYMENT

The Commission or the Oregon State Police may conduct additional background investigations of any High or Low Security employee or Primary Management Official at any time during the term of employment. If, after investigation, The Oregon State Police determines there is cause for the revocation or suspension of the employee's gaming license under the criteria established in §7.A.5 of the Compact, it should promptly so report to the Commission, and furnish the Commission with copies of all relevant information pertinent to such determination. The Commission shall review the State's report and supporting materials and if the Commission concludes that good cause for revocation or suspension of the employee's gaming license exists under the criteria established in §7.A.5 of the Compact, the subject employee shall have his gaming license suspended or revoked according to the procedure set forth in Tribal Gaming Ordinance and implementing regulations.

2.5 DURATION OF LICENSE; RENEWAL; RETURN OF LICENSE

Any High or Low Security employee or Primary Management Official license shall be effective for not more than three (3) years from the date of issue. A licensed High or Low Security employee or Primary Management Official who has applied for renewal may continue to be employed under the expired license until final action has been taken on the renewal application in accordance with the provisions of §7.A.2 to §7.A.5 of the Compact. High or Low Security or Primary Management Official applicants for renewal shall provide the Commission with updated information on a form provided or approved by the Oregon State Police but will not be required to resubmit historical data already provided. The Commission may conduct updated background investigations or update

information on any Gaming Operation(s) employee whenever the Commission deems it appropriate. The Oregon State Police may perform a new background investigation for any High or Low Security employee or Primary Management Official whose license is renewed. Low Security – non-gaming employees may continue to be employed until their license is renewed, and the Commission may in its discretion require updated information or conduct additional background investigation for such employees. All licenses are the property of the Commission and shall be returned to the commission upon suspension, revocation, or expiration, or upon termination of employment with a Siletz Gaming Operation.

2.6 REVOCATION OR DENIAL OF LICENSE

The Commission may revoke or deny the license of any employee pursuant to policies set forth in the Tribe's Gaming Ordinance or this Regulation. The Commission shall revoke the license of any High or Low Security employee or Primary Management Official upon determination that the employee or Primary Management Official does not meet the criteria described in paragraph §7.A.5 of the Compact. In the event the license is revoked, the employee may reapply for a gaming license after one year has elapsed since the revocation commenced.

2.7 SUSPENSION OF LICENSE

The Commission may suspend any license issued under this Regulation if it is necessary to protect the honesty, integrity, fairness or security of the Gaming Operation(s). The Order of Suspension may be appealed to the Office of Hearings and Appeals within 15 calendar days upon receiving the Order of Suspension.

2.8 EMPLOYEE LIST

The Commission agrees to provide the Oregon State Police, on a monthly basis, a list of all Gaming Operation(s) employees and to give notice to the Oregon State Police of any disciplinary action or termination of any employee related to the fairness, integrity, security or honesty of the Tribe's Class III Gaming activities, and any suspension or revocation of an employee's gaming license.

2.9 LIMITED AND CONDITIONAL LICENSES

The Commission may limit a license to a specified period of time or may impose licensing conditions. The conditions shall constitute official notice to the applicant that the license shall be contingent upon the fulfillment of the imposed conditions. Failure of the licensee to comply with the conditions may result in the Commission setting aside its original licensing decision, in which case the licensee returns to the status of a new applicant subject to a new licensing decision. The Commission's issuance of a conditional license may provide that upon the fulfillment of the specified conditions or upon the passage of a set

amount of time, the conditional or limited license will automatically convert to a permanent license.

2.10 LICENSEE AGE RESTRICTIONS

Any licensee whose duties require presence on the Class III Gaming floor shall be at least 21 years of age. Any licensee whose duties require presence on the Class II Gaming floor where alcohol is present shall be at least 21 years of age.

2.11 TEMPORARY EMPLOYEES

In the event the Gaming Operation(s) needs to hire a temporary employee, the Commission shall have the authority to issue a temporary license to that individual based upon established Commission criteria, not to exceed 90 days.

2.12 LICENSING PROVISIONS APPLICABLE TO SILETZ TRIBAL MEMBERS

2.12.1 In any case where a Siletz tribal member is subject to mandatory denial of a license under Section 2.1.8 of this Regulation, the Commission shall consider whether it would be appropriate to request a waiver of such mandatory disqualification under Section 2.2 of this Regulation, and if so, will prepare and forward such waiver request to the Oregon State Police, *provided*, that the approval of the applicant will be obtained to submit such waiver request. If the Commission decides that it would not be appropriate to request a waiver under this Sub-section for a prospective tribal member employee, the Commission will provide notice of such denial to the applicant pursuant to Section 2.1.11, and the denial of a waiver request, in addition to denial of a license under this Chapter, shall be subject to appeal. The Commission will compile information that would support a waiver request while conducting its background investigation. The Commission will report to the Tribal Council on the number of waiver requests forwarded under this sub-section.

2.12.2 In any case where the Commission has initially decided to deny a license to a Siletz tribal member under Section 2.1.9 of this Regulation, the Commission shall consider whether it would be appropriate to grant such prospective tribal member employee a conditional license under Section 2.9 of this Regulation so the tribal member can establish a record of employment that will allow the Commission to issue the tribal member a permanent license under this Regulation.

2.12.3 The Commission may decide whether to waive licensing application and background fees for Siletz tribal members in order to facilitate their licensing and employment. In any such case, the tribal member employee

will be required to pay the licensing application and/or background fees once hired, by payroll deduction or other payment arrangement.

2.12.4 The Commission will periodically provide information to the Tribal Council on the application of the provisions of this Chapter to Siletz tribal members in the previous reporting period.

Regulation, Chapter 3

Adopted by STGHC Resolution No. 2003-020 dated 06/05/03

Adopted by STC Resolution No. 2003-291 dated 07/11/03

Adopted by STGHC Resolution No. 2004-19 dated 04/29/04

Adopted by STC Resolution No. 2004-211 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 3

GAMING EQUIPMENT

3.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure that all gaming equipment is in compliance with the Tribal-State Compact and the NIGC Minimum Internal Control Standards, 25 CFR Part 542.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe and through the Commission.

3.1 EVIDENCE OF TAMPERING

Any person having evidence or reason to believe that any gaming equipment, machine or other device used in the Gaming Operation(s), including, but not limited to, gaming tables, layouts, drop boxes, gaming chips, chip holders, racks and containers, scales, counting devices, slip dispensers, dealing shoe, locking devices, card reader devices and data processing equipment, has been tampered with or altered shall report such evidence or belief to the Commission within 24 hours. Upon notification of the Commission, its Gaming Agents may make secure and/or take custody of the suspected equipment or device and any evidence required to be reported pursuant to this subsection, and maintain secure custody and control of such equipment and evidence.

3.2 SLOT MACHINES

3.2.1 The Commission shall have sole discretion to approve all gaming equipment.

3.2.2 Application for approval of a slot machine:

- (a) All suppliers must possess a current vendor license issued by the Commission and all slot machines must be certified by an approved independent testing lab.
- (b) All suppliers of hardware and software must possess a current vendor license issued by the Commission. OSP must perform a background investigation on all suppliers before each is allowed to distribute slot machines to Gaming Operation(s).

3.2.3 Arrival of a slot machine at the Gaming Operation(s):

- (a) Upon arrival of a vehicle carrying a slot machine, a Gaming Agent must be notified and be present before anyone is allowed to remove the slot machine from the vehicle.
- (b) A Gaming Agent shall visually inspect each machine to make sure serial numbers match those on the packing list and that the machine type has been approved by the State. Only after the Gaming Agent is satisfied that the machine(s) is properly accounted for, may the receiving process begin.
- (c) Once the machine is unloaded, the Gaming Agent, at his/her discretion, will direct the Slot Technician to open a number of machines to verify that there are no EPROM(s), other non-alterable storage media or cash boxes in the machines. If any EPROM(s), other non-alterable storage media or cash boxes are in the machines, the Gaming Agent will be responsible for securing the items.
- (d) The Gaming Agent shall affix a Tribal Gaming Inventory Decal to each machine. This decal constitutes documentation that each machine is certified by the Commission.

3.3 STORAGE OF SLOT MACHINES

Whenever a slot machine is placed into storage, a Gaming Agent will secure the EPROM(s) or other non-alterable storage media. The Gaming Agent shall also ensure that the cash box is removed from each machine before it is placed into storage and that each machine is stored in a secured area.

3.4 PLACEMENTS OF SLOT MACHINES ON THE GAMING FLOOR AND SLOT MACHINES RETURNED TO SERVICE

3.4.1 Before the Gaming Operation(s) places or returns to service a slot machine on the gaming floor, a Gaming Agent must be present to verify that the slot machine

communicates with the designated computer system. Once the Gaming Agent is satisfied, the machine may be placed into service on the gaming floor.

- 3.4.2 Once a machine is placed on the floor, or returned to service, a Gaming Agent must immediately verify that the surveillance camera can provide adequate coverage of the machine. Specifically, a camera must get a clear view of the screen, the machine number, and the Candle, if so equipped, on the top of the machine box.

3.5 MOVEMENT, CONVERSIONS, AND DENOMINATION CONVERSIONS

Please refer to §7.1 of these Regulations.

3.6 TABLE GAMES

- 3.6.1 Before the Gaming Operation(s) begins any new table game, the Commission must approve the following:

- (a) Procedures of play;
- (b) Minimum and maximum permissible wagers;
- (c) Procedures to be followed in the occurrence of irregularities in play;
- (d) Procedures on side betting between and against players; and
- (e) House of operation.

- 3.6.2 The Commission shall also adopt specifications for the following if applicable:

- (a) Chips;
- (b) Cards;
- (c) Tables;
- (d) Table layout;
- (e) Dealing shoes; and
- (f) Such other equipment as may be required for use in the game.

- 3.6.3 The Commission shall review rules, policies, procedures and develop regulations for each new game that are consistent with industry standards, that include provisions for the following, as applicable:

- (a) Dealer training and qualifications;

- (b) Shuffling, cutting and dealing;
- (c) Specific game procedures and rules;
- (d) Bet/wager limit by table or game;
- (e) Card inventory, security or storage;
- (f) Replacing decks;
- (g) Destruction of used decks;
- (h) Qualifications and training for Floor Supervisors and Pit Bosses;
- (i) Chips(see chapter 5);
- (j) Acceptance of tips by dealers;
- (k) Federal and state tax reporting;
- (l) Distributing gaming chips to gaming stations;
- (m) Table identification;
- (n) Drop box procedures for securing, removing, transporting, counting, recording and storage; and
- (o) Posting of rules.

3.6.4 The Gaming Agent will also ensure that the placement of the new game will allow for complete surveillance camera coverage of the game.

Regulation, Chapter 4

Adopted by STGHC Resolution No. 2003-021 dated 06/05/03

Adopted by STC Resolution No. 2003-351 dated 08/14/03

Adopted by STGHC Resolution No. 2004-020 dated 04/29/04

Adopted by STC Resolution No. 2004-212 dated 06/12/04

Adopted by STC Resolution No. 2009-267 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 4

POKER REGULATIONS

4.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure that the Gaming Operation(s) has established Poker procedures that comply with the National Indian Gaming Commission Regulation §543.10.

The Commission has the authority to regulate the Gaming Operation(s) to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant of federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Siletz Tribal Gaming Commission.

4.1 CARD GAME BOX PROCEDURES

4.1.1 Each card table shall have one card game drop box with a drop slot. Each drop slot shall be equipped with a cover over the top of the drop slot, which when activated will cause the rake to drop directly into the drop box. The card game drop box shall be a locked container marked with a permanent number corresponding to a permanent number on the card table and permanently marked to indicate game and shift. All such markings shall be clearly visible by Surveillance. The locked container shall be locked to the card table and shall be separately keyed from the container itself.

4.1.2 All card drop boxes shall be removed from their respective card tables at the end of each shift at the time previously designated in writing to the Commission. The removal of the card game drop boxes shall be a continuous process so that an observer may be able to observe the markings on the boxes. A person independent of the pit shift being dropped shall remove all locked card game drop boxes from the tables. The boxes must be transported directly to the count room or other equivalently secure area with comparable controls and locked in a secure manner until the count takes place. The transporting shall be by a minimum of

three (3) persons, at least one (1) of whom is independent of the pit shift being dropped.

4.2 SALE OF STAKES

4.2.1 No cash or chips received for the sale of stakes shall be commingled with any rake-offs or other compensations received by the Gaming Operation(s) from the players for the right to play.

4.3 CARD ROOM BANKS

4.3.1 When the card table bank is to be replenished with chips from the card room bank, all cash drops or chips to be transferred must be counted down by the dealer in public view on the card table and verified by the person who transports the cash or chips.

4.3.2 The transfer shall be preceded by the placement of appropriately designated marker buttons (lammer) on the card table of a value equivalent to the cash or chips to be transferred to the card room bank. Such marker buttons may only be removed by the dealer after the transaction has been completed.

4.3.3 The amount of the main poker podium bank is counted, recorded and reconciled on at least a per-shift basis.

4.3.4 At least once per shift, the table banks that were opened during that shift, shall be counted by a dealer (or other individual if the table is closed) and supervisor, and attested to by signature on the checkout form. The count is recorded and reconciled on at least a per-shift basis.

4.4 LIMITATIONS ON THE USE OF CARD ROOM BANKS AND CARD TABLE BANKS

4.4.1 Card room banks shall be used exclusively for the purposes of the issuance and receipt of shill funds, the maintenance of the card table banks used in the card games, and the issuance of chips to players and redemption of chips from players.

4.4.2 Card table banks shall be used only for purposes of making change or handling player buy-ins.

4.5 RAKE-OFF AND TIME BUY-IN

4.5.1 Rake-offs shall not exceed established and posted rules. The dealer shall only pull rake-offs from the pot in an obvious manner after each wager and call or at the completion of the hand. The rake-off shall be placed in a designated rake circle until a winner is declared and paid. The rake-off shall then be dropped into the card game drop box.

4.5.2 The designated rake circle shall be on top of the cover over the drop slot, which when activated will cause the rake to drop directly into the drop box.

4.6 RESTRICTIONS ON USE OF SHILLS, PROPOSITION PLAYERS, STAKE PLAYERS, AND DEALERS

4.6.1 Shills may not check and raise in any manner between themselves or in collusion with others to the disadvantage of other players within the game.

4.6.2 Shills shall be licensed by the Commission and shall wear a gaming license at all times while shilling a game.

4.6.3 The Gaming Operation(s) shall maintain a list of shills at the card room bank, which shall be readily available for inspection.

4.6.4 Persons who participate in the management or supervision of games shall be permitted to act as a shill only if supervision is otherwise provided.

4.6.5 All advances to and winnings of a shill shall be utilized only for the wagering in card games or turned into the card room bank at the conclusion of play.

4.6.6 No more than two (2) shills shall play in a card game.

4.6.7 Shills may only wager chips or coins. Issuance of shill funds shall have the written approval of the manager or director.

4.6.8 Shill returns shall be recorded and verified on the shill sign-out form.

4.6.9 The replenishment of shill funds shall be documented.

4.6.10 Proposition players are not authorized to play in the Gaming Operation(s).

4.6.11 Stake players are not authorized to play in the Gaming Operation(s).

4.6.12 No dealer may wager in any game in which he/she is dealing.

4.6.13 No dealer may play any game in the Gaming Operation's poker room while on an assigned workday.

4.7 POSTING OF RULES

4.7.1 The rules of each game must be published and available to a player upon request and must designate the following:

(a) The maximum rake-off percentage, time buy-in, or other fees charged;

- (b) The number of raises allowed;
- (c) The monetary limit of each raise;
- (d) The amount of ante; and
- (e) Other rules as may be necessary.

Regulation, Chapter 5

Adopted by STGHC Resolution No. 2003-022 dated 06/05/03

Adopted by STC Resolution No. 2003-292 dated 07/11/03

Adopted by STGHC Resolution No. 2004-021 dated 04/29/04

Adopted by STC Resolution No. 2004-213 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 5

CHIP REGULATIONS

5.0 PURPOSE AND AUTHORITY

It is the responsibility of the Commission to ensure minimum internal control standards are in place, as it deems appropriate to implement the provisions of IGRA. The Siletz Tribal Gaming Commission, or the Gaming Operation(s) as approved by the Commission, shall establish and the Gaming Operation(s) shall comply with procedures for the receipt, inventory, storage, and the destruction of gaming chips and tokens. §25 CFR 542.14

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for the regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

5.1 APPROVAL OF CHIPS AND APPLICATION PROCEDURES

5.1.1 The Gaming Operation(s) shall not issue any chips for use in its gaming establishment, or redeem any such chips, unless the Commission has approved the chips in writing. The Gaming Operation(s) shall not issue any chips for use in its gaming establishment, or redeem any such chips, that are modifications of chips previously approved by the Commission, unless the modifications have been approved in writing by the Commission.

5.1.2 Applications for approval of chips and modifications to previously approved chips must be made using such forms as the Commission may prescribe. The applications must include, in addition to such other items or information as the Commission may require:

- (a) An exact drawing, in color, of each side and the edge of the proposed chip, drawn to actual size, or larger than actual size in scale, and showing the measurements of the proposed chip in each dimension;
- (b) Written specifications for the proposed chips;
- (c) The name and address of the manufacturer;
- (d) The Gaming Operation's intended use for the proposed chip.

5.1.3 The Commission may, in writing, approve the variations from the specific requirements of this regulation if, in the opinion of the Commission, the alternative controls and procedures meet the objective of this regulation.

5.1.4 If after receiving and reviewing the items and information described by this regulation and the Commission is satisfied that the proposed chips and related information conform to the requirements of this regulation, the Commission will notify the Gaming Operation(s) in writing, and shall request that the Gaming Operation(s) provide a sample of the proposed chips in final, manufactured form. If the Commission is satisfied that the sample and information conforms to the requirements of this regulation, the Commission will approve the proposed chips and notify the Gaming Operation(s) in writing. The Commission may retain the sample chips submitted pursuant to this subsection.

5.2 SPECIFICATIONS FOR CHIPS

5.2.1 Chips must be designed, manufactured, and constructed in compliance with all applicable statutes, regulations, and policies of the Commission and also prevent counterfeiting of the chips to the extent reasonably possible. Chips must not deceptively resemble any current or past coinage of the United States of America, or any other nation.

5.2.2 In addition to such other specifications as the Commission may approve:

- (a) The name of the Gaming Operation(s) along with its location (city and state) must be inscribed on each side of each chip;
- (b) The value of the chip must be inscribed on each side of each chip;
- (c) The manufacturer's name or distinctive logo or other mark identifying the manufacturer must be inscribed on at least one side of each chip; and
- (d) Each chip must be designed so that when stacked with chips of other denominations and viewed on closed circuit, black-and-white television,

the denomination of the chip can be distinguished from that of the other chips in the stack.

5.2.3 Additional Specifications for Chips:

- (a) Unless Commission approves otherwise, chips must be disk-shaped, must have a diameter of 39mm, $\pm .25$ mm, and must have a thickness of 3.3 mm, $\pm .125$ mm;
- (b) Unless the Commission approves otherwise, the color of the chips shall be as followed;
 - 1. \$1.00 chips shall be predominately white in color;
 - 2. \$2.50 chips shall be predominately hot pink in color;
 - 3. \$5.00 chips shall be predominately red in color;
 - 4. \$25.00 chips shall be predominately green in color;
 - 5. \$100.00 chips shall be predominately black in color;
 - 6. \$500.00 chips shall be predominately purple in color; and
 - 7. \$1000.00 chips shall be predominately yellow in color.

5.2.4 Use of Chips:

- (a) Chips are solely representative of value which evidence a debt owed to their custodian by the Gaming Operation(s) and are not the property of anyone other than the Gaming Operation(s).
- (b) If chips are to be used at the Gaming Operation(s), the management shall:
 - 1. Comply with all applicable statutes, regulations, and policies of the Commission pertaining to chips.
- (c) Issue chips only to patrons of the gaming establishment, and only at their request.
- (d) Promptly redeem its own chips from its patrons by cash or check drawn on an account of the Gaming operation.
- (e) The Gaming Operation(s) shall not accept chips as payment for any goods or service offered at the Gaming Operation(s) with the exception of the specific use for which the chips were issued, and shall not give chips as change in any other transaction.

- (f) The Gaming Operation(s) shall not redeem chips if presented by a person who the Gaming Operation(s) knows or reasonably should know is not a patron except that the Gaming Operation(s) shall promptly redeem its chips if presented by:
 - 1. Another Gaming Operation(s) who represents that it redeemed the chips from its patrons or received them unknowingly, inadvertently, or unavoidably, and/or
 - 2. An employee of the Gaming Operation(s) who presents the chips in the normal course of employment.

5.3 REDEMPTION, DISPOSAL, AND DESTRUCTION OF CHIPS

- 5.3.1 If the Gaming Operation(s) permanently removes from use or replaces approved chips at its operation, or ceases operating its facility, the Gaming Operation(s) must prepare a plan for redeeming discontinued chips that remain outstanding at the time of discontinuance. The Gaming Operation(s) must submit the plan in writing to the Commission not later than 30 days before the proposed removal, replacement, or closure. The Commission may approve the plan or require reasonable modifications as a condition of approval of the plan. Upon approval of the plan, the Gaming Operation(s) shall implement the plan as approved.
- 5.3.2 In addition to such other reasonable provisions as the Commission may approve or require, the plan must provide for:
 - (a) Redemption of outstanding discontinued chips in accordance with this regulation for at least 90 days after the removal or replacement of the chips unless otherwise approved by the Commission;
 - (b) Redemption of the chips at the premises of the Gaming Operation(s) or at such other location as the Commission may approve;
 - (c) Publication of notice of the discontinuance of the chips and of the redemption and the pertinent times and location in at least two newspapers of general circulation in the State of Oregon at least twice during each week of the redemption period, subject to the Commission's approval of the form of notice, the newspapers selected for publication, and the specific days of the publication;
 - (d) Conspicuous posting of the notice described in paragraph 5.3.2(c), at the Gaming Operation(s), and at all area office of the Confederated Tribes of Siletz Indians; and

- (e) Destruction of such other disposition of the discontinued chips as the Commission may approve or require.

5.4 DESTRUCTION OF COUNTERFEIT CHIPS

5.4.1 Unless an authorized law enforcement officer of competent jurisdiction instructs, or a court of competent jurisdiction orders otherwise in a particular case, the Gaming Operation(s) shall destroy or otherwise dispose of counterfeit chips discovered at the Gaming Operation(s) in such a manner as the Commission may approve or require.

- (a) Unless an authorized law enforcement officer of competent jurisdiction instructs, or a court of competent jurisdiction orders otherwise in a particular case, the Gaming Operation(s) may dispose of currency of the United States of America, or any other nation discovered to have been unlawfully used at the Gaming Operation(s) by including them in the currency inventories, or in the case of foreign currency, by exchanging them for United States of America currency and including them in the currency inventories, or otherwise by disposing of counterfeit chips discovered at the Gaming Operation(s) in such a manner as the Commission may approve or require.

5.4.2 The Gaming Operation(s) shall record, in addition to such other information as the Commission may require:

- (a) The number of denominations, actual and purported, of the counterfeit chips destroyed or otherwise disposed of pursuant to this section.
- (b) The month during which they were discovered.
- (c) The date, place, and method of destruction or disposition.
- (d) The names of persons carrying out the destruction or other disposition on behalf of the Gaming Operation(s).

5.4.3 The Gaming Operation(s) shall maintain each record required by this subsection for at least five (5) years, unless the Commission approves or requires otherwise.

5.4.4 The provisions of this section shall not apply to promotional chips.

5.5 PROMOTIONAL AND TOURNAMENT CHIPS

5.5.1 Promotional chips must be designed, manufactured, approved, and used in accordance with the provisions of this regulation applicable to chips, except as follows:

- (a) Promotional chips must be of such shape and size and have such other specifications as the Commission may approve or require;
- (b) Promotional chips may only be used in the promotion of tournaments for which they are issued; and

5.6 OTHER GAMING INSTRUMENTS

- 5.6.1 Other instruments used in the Gaming Operation(s), must be designed, manufactured, approved, used, discontinued, destroyed, or otherwise disposed of in accordance with the provisions of this regulation applicable to chips, except that such other instruments must be of such shape, size, and design and have such other specifications as the Commission may approve or require.
- 5.6.2 The Commission may deny approval of instruments other than chips or may grant approval subject to such conditions as the Commission considers appropriate.

Regulation, Chapter 6

Adopted by STGHC Resolution No. 2003-036 dated 08/07/03

Adopted by STC Resolution No. 2003-353 dated 08/14/03

Adopted by STGHC Resolution No. 2004-22 dated 04/29/04

Adopted by STC Resolution No. 2004-214 dated 06/12/04

Adopted by STC Resolution No. 2009-268 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 6

DEALER TRAINING

6.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure that the Commission has adopted regulations establishing a minimum level of experience, training, and competence for dealer that are commensurate with the need to maintain the honesty, integrity, fairness, and security of Class III table games and Class II card games. The Gaming Operation(s) shall have established and maintained the training programs for all dealer personnel in gaming. All dealer personnel involved in gaming activities shall successfully complete or otherwise demonstrate that they have met the requirement of the Gaming Operation(s) training program.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for the regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

6.1 DEALERS

6.1.1 Prior to hiring, promoting or transferring a person to a dealer position, the Gaming Operation(s) shall ensure that the person is tested and evaluated by the qualified instructor. The testing and evaluation shall be commensurate with the position.

6.1.2 Dealers shall be required to demonstrate game knowledge of:

- (a) Game rules, procedures and play;
- (b) Game protection;
- (c) Card handling;

- (d) The Regulations and TICS; and
- (e) Policies and procedures relevant to dealing the game.

6.1.3 The Gaming Operation(s) training program shall be approved by the Commission before implementation of any change. Records of employees completing dealer training will be maintained for five (5) years.

6.1.4 The program shall be designed to provide dealers with the knowledge and skills necessary to satisfy requirements established by the Gaming Operation(s) and the Commission.

6.2 INSTRUCTORS

6.2.1 The instructor of the training program shall be an authorized or certified instructor.

6.2.2 Instructors, at a minimum, shall;

- (a) Demonstrate sufficient knowledge and skills to meet minimum requirements consistent with industry standards, and;
- (b) Have graduated from school, academy or college recognized by the industry as having expertise in the areas of casino management and card games, or have an acceptable substitute of actual experience and demonstrated ability to teach card games and games protection.

6.3 TABLE GAME SUPERVISORS AND MANAGERS

All table game supervisors and managers shall have dealing experience in a live gaming environment and demonstrated knowledge commensurate for the level of supervision.

6.4 ROLE OF THE COMMISSION

The Commission shall receive certification from the Gaming Operation(s) that all training has been completed, and the Commission shall conduct periodic audits of the Gaming Operation's certification process.

Regulation Chapter 7

Adopted by STGHC Resolution No. 2003-023 dated 06/05/03

Adopted by STC Resolution No. 2003-293 dated 07/11/03

Adopted by STGHC Resolution No. 2004-23 dated 04/29/04

Adopted by STC Resolution No. 2004-215 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 7

NOTIFICATIONS AND REPORTS

7.0 PURPOSE AND AUTHORITY

The Commission is responsible for regulation of the Tribal Gaming Operation(s) and any other gaming activities within the jurisdiction of the Tribe. The Commission shall adopt appropriate regulations and rules for each gaming activity authorized by the Council.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

7.1 SLOT NOTIFICATION

7.1.1 Movement of a slot machine:

- (a) The Commission shall be notified in writing 72 hours prior to the movement of any slot machine at the Gaming Operation(s);
- (b) The Commission must receive, in the above notification, a complete list of the affected slot machines, and their new location, and/or numbers;
- (c) An updated slot floor plan shall be submitted to the Commission no later than 24 hours (one working day) after the movement of any slot machine; and
- (d) Commission seals securing any area of an electronic gaming device shall not be altered or removed unless approved by the Commission.

7.1.2 Slot game conversion:

- (a) The Commission shall be notified in writing, ten (10) working days prior to the conversion of any slot game.
- (b) The Commission must receive with the above request, the name of the new game, manufacturer of the new game, and the EPROM(s) or other non-alterable storage media type and number; and
- (c) The Commission must receive with the above request a complete list of the affected slot machines, and their new location, and/or numbers.

7.1.3 New slot machines:

- (a) The Commission shall be notified in writing, ten (10) working days prior to any new installation of any new slot machines.
- (b) The Commission must receive with the above request, the name of the new game, manufacturer of the new game, and the EPROM(s) or other non-alterable storage media type and number; and
- (c) The Commission must receive with the above request a complete list of the affected slot machines, and their new location, and/or numbers.

7.2 CLASS II & III CARD GAME NOTIFICATIONS

7.2.1 Before any new card game is introduced at the Gaming Operation(s), the management must complete the following requirements:

- (a) A written request must be submitted to the Commission thirty (30) days prior to the proposed start date of any new card game. Games that do not require new rules and procedures are not considered new games, but amendments.
- (b) The proposed rules and policies must be submitted to the Commission 30 working days prior to the proposed start date of the new card game and the Commission shall unconditionally approve, conditionally approve, or deny the request.
- (c) Any additions or deletions to the Gaming Operation(s) internal controls manual must be submitted to the Commission ten (10) working days prior to the proposed start date of the new card game and comply with Chapter 8 of these regulations; and
- (d) Gaming Operation(s) management must receive written approval from the Commission to start the new game.

7.2.2 Amendments to the game rules shall be adopted as follows:

- (a) The Gaming Operation(s) shall submit proposed amendments to the game rules on forms approved by the Commission and shall include:
 - (1) The existing game rule;
 - (2) The proposed amendment; and
 - (3) The impact of the proposed amendment on the game.

7.2.3 The Commission shall determine an effective date not to exceed 30 days after adoption; and

7.2.4 Amendments shall not apply to non-substantive changes and corrections.

7.3 REPORTS

7.3.1 The management of the Gaming Operation(s) shall ensure that the Commission is provided in a timely manner or upon request, a copy of the following reports:

- (a) All Security Incident Reports and Exclusions;
- (b) All Monthly Complimentary Reports;
- (c) Reports and documentation relating to any Gaming Council complimentary items and Entertainment tickets.
- (d) Any requested Accounting documentation;
- (e) All applicable Internal Audit Reports;
- (f) All Daily Manager's Reports;
- (g) All Personnel Action Reports involving the following:
 - (1) The change of address/telephone number of any licensed employee;
 - (2) The suspension of any licensed employee;
 - (3) The termination (voluntary or involuntary) of any licensed employee; and
 - (4) The promotion or job change of any licensed employee.
- (h) Any information obtained by the Gaming Operation(s) that would have a direct impact on the suitability of a licensed employee;

- (i) Monthly list of slot machine numbers, locations, game software ID, hold percentages, machine serial number, denomination, Commission Inventory Decal number, and game name;
- (j) The completed investigation report (conducted by the Gaming Operation(s)) with any supported documentation on any licensed employee (or due to the results of the investigation a “former” or “termed” employee);
- (k) Proposed plans for remodeling or expansion of the Gaming Operation(s) beyond the existing footprints of the building;
- (l) Any amendment to the Gaming Operation(s) employee Game Play Policy/list;
- (m) Information about any position requiring classification must be submitted to the Commission ten (10) working days prior to scheduled start.
- (n) Names of all Special Event employees hired or selected by the Gaming Operation(s) within five (5) working days of the event unless the Commission approves an exception to the five (5) working days requirement; and
- (o) A list of all Class II, Class III, and Non-Gaming Vendors over \$100,000.00 that the Gaming Operation(s) intends to do business with in the following year on or before November 30th.
- (p) Any information, report, and/or documentation requested by the Commission that can be reasonably provided or obtained by the Gaming Operation(s).

7.3.4 The Internal Audit Department shall ensure that the Commission is provided in a timely manner and upon request, a copy of the required compliance audits and reports as stated in the Internal Audit Charter approved by the Tribal Council;

7.4 OTHER REQUIRED NOTIFICATIONS

7.4.1 The Commission, or on-call Gaming Agent, shall be immediately notified of the following:

- (a) A jackpot of \$20,000.00 or more;
- (b) The arrest of a licensed employee;

- (c) Damage to the Gaming Operation(s);
- (d) A felonious act committed at the Gaming Operation(s);
- (e) The arrest of a person for the following:
 - (1) Theft, robbery, forgery or burglary of Gaming Operation(s) property; and
 - (2) Any other arrest on Gaming Operation(s) property.
- (f) The malfunction of the Keno Blower, Keno Computer, Bingo Blower, Speed Bingo Blower, or Off Track Betting System;
- (g) If an outside law enforcement agency contacts the Gaming Operation(s) as part of their official duties.

7.5 REQUIRED EMPLOYEE NOTIFICATION

7.5.1 All employees, full or part time, must notify the Commission directly, in writing, no later than five (5) working days of the date of any of the following:

- (a) All arrests, detentions and litigations (this includes any criminal arrest or civil action in which the employee was involved whether convicted in criminal court or settled in civil court). All arrests, detentions, charges, indictments, court orders and/or summons to answer for any criminal offense or violation for any reason whatsoever, regardless of the outcome (disposition) of the event (except minor traffic citation – speeding, stop signs, equipment, etc.); or
- (b) The employee has been questioned by any city, state, federal, or other law enforcement agencies (except minor traffic citations – speeding, stop signs, equipment, etc.), commissions, or committees, except for the Siletz Tribal Gaming Commission; or
- (c) Any other outside employment/business partnership or purchase of a business.

Regulation, Chapter 8

Adopted by STGHC Resolution No. 2003-024 dated 06/05/03

Adopted by STC Resolution No. 2003-294 dated 07/11/03

Adopted by STGHC Resolution No. 2004-024 dated 04/29/04

Adopted by STC Resolution No. 2004-216 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 8

TRIBAL MINIMUM INTERNAL CONTROL STANDARDS

8.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to provide for the Tribal Internal Control Standards (TICS) that are in compliance with both the Tribal/State Compact approved on September 3, 1999 and the NIGC Minimum Internal Control Standards, 25 CFR Part 542, approved on June 27, 2002.

The Commission has authority to regulate Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for the regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

8.1 GAMING OPERATION(S) SYSTEM OF INTERNAL CONTROL

8.1.1 The management of the Gaming Operation(s) shall establish MICS that meet or exceed the TICS.

8.1.2 It is the responsibility of the management of the Gaming Operation(s) to provide a current copy of the MICS to the Commission.

8.1.3 It is the responsibility of the management of the Gaming Operation(s) to submit all proposed amendments, revisions, deletions, and/or additions to the MICS to the Commission for review and approval prior to implementation.

8.2 AMENDMENTS OR RESCISSION OF TICS

8.2.1 All amendments or rescission of this regulation, or any part thereof, shall follow procedures specified in Chapter 0 of these regulations.

8.3 MISCELLANEOUS PROVISIONS

8.3.1 Should any provisions of this regulation, or the application thereof to any person, entity or circumstance be determined to be invalid, the invalid provision shall be severed from this regulation and the remaining provision of this regulation shall remain in legal force or effect unless the Tribal Court determines otherwise.

Regulation, Chapter 9

Adopted by STGHC Resolution No. 2003-025 dated 06/05/03

Adopted by STC Resolution No. 2003-295 dated 07/11/03

Adopted by STGHC Resolution No. 2004-025 dated 04/29/04

Adopted by STC Resolution No. 2004-217 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 9

**CUSTOMER DISPUTE RESOLUTION REGULATIONS
(OPERATIONAL)**

9.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to provide for the patrons and management of the Gaming Operation(s) a fair and prudent means by which to resolve disputes of decisions by the Gaming Operation(s) that affect patrons of the Gaming Operation(s) equitably, in order to protect the fairness, integrity, security and honesty of the Gaming Operations(s).

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

9.1 CUSTOMER DISPUTE, INITIAL RESOLUTION

9.1.1 Any complaint arising between the Gaming Operation(s) and any customer of the Gaming Operation(s) shall be resolved according to the following procedure:

- (a) A customer may initiate a complaint orally or in writing. In the event the complaint is raised orally, the General Manager shall reduce the dispute to writing and, if feasible, have the customer verify the accuracy of the complaint. In no event, except upon written consent of the Tribe, shall a dispute be raised more than 30 days after the dispute is alleged to have occurred.

9.1.2 The General Manager of the Gaming Operations(s) shall be initially responsible for attempting to resolve any patron dispute, and shall attempt to satisfy the customer. If the dispute can be resolved, the General Manager shall record the decision in writing and shall retain such record for a period of three (3) years.

9.1.3 If the dispute cannot be resolved by consent of the parties, the General Manager shall issue a written decision, with reasons, and shall serve a copy of the decision to the customer. In no event shall the time period, from the time any customer first raises a complaint with the General Manager to the time the dispute is resolved by the General Manager, either by mutual consent or by decision of the General Manager, exceed ten (10) calendar days. The only exception is, if the tenth day falls on a weekend or holiday. The General Manager's decision shall be final for the Gaming Operation(s).

9.3 CUSTOMER APPEALS

9.3.1 Any customer who is dissatisfied with the decision of the General Manager and/or the Gaming Operations(s) regarding the gaming dispute may appeal the decision of the General Manager by presenting his or her dispute to the Siletz Tribal Gaming Court according to the following procedures:

- (a) A Gaming Court shall be established as a department of the Siletz Tribal Court. The Tribal Council shall establish qualifications for the position of judge of the Gaming Court, including provisions for use of an Arbitrator in lieu of a judge;
- (b) The customer shall submit a written account of the dispute or complaint to the Gaming Court. The account shall include a description summary of the events leading up to the dispute;
- (c) The Gaming Court shall present the General Manager with a copy of the complaint. The General Manager shall have five (5) days within which to respond, and any response shall be in writing and a copy shall be delivered to the customer by Certified Mail;
- (d) The Gaming Court may request additional or more specific information from either the customer or the General Manager, or it may conduct its own investigation. Written statements from any other person may be submitted by the customer, or the General Manager. Any such written statements shall be accompanied by an explanation of their relevance to the dispute under consideration;
- (e) The Gaming Court shall complete its investigation and makes its decision within 30 days of receiving the customer's complaint;
- (f) If the Gaming Court determines that sufficient grounds exist to support the decision of the General Manager, it will dismiss the complaint;

- (g) If the Gaming Court determines that the decision made by the General Manager was incorrect, the Gaming Court shall take whatever action it determines is necessary to resolve the dispute. Financial compensation shall be limited to actual losses suffered by the customer as a result of the dispute and the actions of the Gaming Operation(s) and its employees;
- (h) The sovereign immunity of the Confederated Tribes of Siletz Indians of Oregon shall be waived in limited fashion for purposes of this dispute resolution procedure. Such waiver of sovereign immunity shall be limited to the Tribal Gaming Court, to redress of the specific gaming rules violation complained of, and waiver of tribal immunity for purposes of financial compensation shall be limited to revenues of the Gaming Operation(s) and actual monetary losses suffered as a result of the disputed gaming rules violation.

Regulation, Chapter 10

Adopted by STGHC Resolution No. 2003-010 dated 04/11/03

Adopted by STC Resolution No. 2003-200 dated 05/09/03

Adopted by STGHC Resolution No. 2004-026 dated 04/29/04

Adopted by STC Resolution No. 2004-218 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 10

ENFORCEMENT AND COMPLIANCE

10.0 PURPOSE AND AUTHORITY

It is the responsibility of the Commission to ensure compliance by anyone associated with the Gaming Operation(s) with all relevant laws, the Tribal-State Compact, ordinances, regulations, internal controls, and policies and procedures that affect or may affect the fairness, integrity, security or honesty of said Gaming Operation(s). It is the policy of the Commission to first attempt to resolve new compliance issues in an informal matter. Any such informal resolution shall be memorialized in writing and approved by the Executive Director. This regulation also provides for the imposition of sanctions in the event a compliance issue is not resolved or if the seriousness of the violation, repeated violations, or other factors makes it appropriate.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for the regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

10.1 ENFORCEMENT AND COMPLIANCE

10.1.1 All information, written or verbal, concerning a possible compliance issue shall be submitted to the Commission. The Commission shall review and document the information and make an initial determination as to the type of action required based upon the seriousness of the alleged issue. The determination as to the type of action, or if action is required, shall include but not be limited to consideration of the following criteria:

- (a) Does the incident or activity present an ongoing, immediate threat to the fairness, integrity, security, honesty, or assets of the Gaming Operation(s);
- (b) The severity of the compliance issue;
- (c) Is there a threat to the physical safety of individuals;

- (d) Is there an ability to remedy the compliance issue in a timely manner;
- (e) Is the issue that of a mistake, negligence and/or human error;
- (f) Is the incident the result of a plan;
- (g) Who committed the incident and was the person a manager or employee “who should have known”;
- (h) The volume of the same type of compliance issues compared to the volume being processed when the issue occurred;
- (i) The circumstances surrounding the compliance issue in regard to whether or not a pattern was being exhibited. A pattern would be determined by reviewing and taking into consideration the similarity in the individuals involved, the similarity in time (shifts), etc;
- (j) Who discovered the compliance issue and was it being resolved by those who discovered it;
- (k) Are there additional controls in place that would find the compliance issue if it reoccurs.

10.1.2 The Commission retains the discretion to vary as necessary and appropriate, to carry out its responsibilities under applicable laws, regulations, Compact, and ordinances.

10.2 NOTICE OF NON-COMPLIANCE

10.2.1 A Notice of Non-Compliance shall be issued in the event:

- (a) The Gaming Operation(s) fails to resolve the compliance issue in an informal resolution with the Commission;
- (b) The non-compliance issue is in direct conflict with applicable laws, regulations, Compact, ordinances, and/or policies and procedures.

10.2.2 The Notice of Non-Compliance will contain the following information:

- (a) The non-compliance issue and a citation to the law, regulation, Compact provision, ordinance, or other authority that is involved;
- (b) The specific actions or conduct that are required in order to alleviate the compliance issue, and the time frame within which the remedial action must be completed or in place; and

- (c) The enforcement action that will be taken, including sanction and fines, if the required remedial action is not completed in the time frame specified.

10.2.3 The time frame for the Respondent to respond to the Notice of Non-Compliance should be reasonable, but in no case less than two (2) working days and no more than ten (10) working days, provided that the Executive Director may alter time line to accommodate unusual circumstances.

10.3 VIOLATION CITATION

10.3.1 If the Respondent does not respond to the Notice of Non-Compliance within the time frame provided and/or to the satisfaction of the Commission, the Commission may issue a Violation Citation Against Respondent. If the compliance issue is of such a serious nature so as to threaten the honesty, integrity, security or fairness of the Gaming Operation(s), the Commission may issue a Violation Citation Against Respondent.

10.3.2 The Violation Citation shall contain the following information:

- (a) The violation that has taken place, including citation to the law, regulation, ordinance, Compact, or other authority that has been violated;
- (b) The fine, sanction, or other enforcement or compliance action that is being assessed or taken against Respondent;
- (c) The remedial action that is required for the violation to be eliminated, and the additional fines, sanctions, or other enforcement action that will occur if the remedial action is not completed within the stated timeframe; and
- (d) Respondent's right to appeal the Violation Citation to the Office of Hearings and Appeals within 15 days by filing a written Notice of Appeal to the Office of Hearings and Appeals.

10.3.3 Remedial actions may include, but are not limited to, one or more of the following:

- (a) An order to perform or refrain from conduct constituting the violation; and
- (b) Specific conduct or the adoption of procedures that will alleviate the violation if instituted.

10.3.4 Fines or sanctions may include, but are not limited to, the following:

- (a) A fine not to exceed \$5,000 for any single violation;
- (b) License suspension not to exceed one (1) year;

- (c) License revocation; and
- (d) Other fines and/or sanctions as appropriate.

10.3.5 If a Respondent disagrees with the remedial action ordered by the Violation Citation or the sanctions assessed, the Respondent may file a written appeal of the Violation Citation to the Office of Hearings and Appeals within 15 days of receipt of said Violation Citation.

10.4 MISCELLANEOUS PROVISIONS

10.4.1 **Fines and Sanctions:** A schedule of fines and sanctions will be developed by the Commission as a schedule that will be attached to Chapter 11 of these regulations as Appendix A. The schedule of fines and sanctions may be updated as necessary by the Commission, with notice to the Tribal Council.

10.4.2 **Confidentiality of Sources and Information:** The Commission may protect the identity source(s) of alleged compliance issues and violations as necessary and appropriate to carry out its responsibilities under the law. The Commission may develop confidentiality policies and procedures governing access to or discovery of investigatory information. Such information shall not be subject to disclosure to the public at large or to persons or entities that do not have specific business with the Commission.

10.4.3 **Consent to Commission Authority:** By doing business with the Gaming Operation(s), by becoming employed at the Gaming Operation(s), or by voluntarily entering the Gaming Operation(s), persons or entities consent to the authority of the Commission to carry out its responsibilities under this regulation and the jurisdiction of the Siletz Tribe for all purposes related to their presence. Failure to cooperate with the Commission may be grounds for the Commission to order a Gaming Operation(s) to cease doing business with a person or entity, to revoke a license, to order removal of a person from the premises of the Gaming Operation(s), or to impose other sanctions as consistent with applicable law.

10.4.4 **Failure to Respond to Notices:** The failure of any Respondent to respond to any notice or other document issued by the Commission in the time frame specified in that document shall be treated as a general denial by the Respondent and shall give the Commission authority to proceed to the next appropriate stage of the enforcement process and to impose any appropriate fines or other sanctions against Respondent.

10.4.5 General Investigative Authority: The Commission has authority under law to conduct any investigation it determines necessary or appropriate at any time, without restriction and not subject to any limitations under this regulation.

Regulation, Chapter 11

Adopted by STGHC Resolution No. 2003-037 dated 08/07/03

Adopted by STC Resolution No. 2003-354 dated 08/14/03

Adopted by STGHC Resolution No. 2004-027 dated 04/29/04

Adopted by STC Resolution No. 2004-219 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 11

SANCTIONS

11.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure that the honesty, integrity, fairness and security of the Gaming Operation(s) are protected, violations investigated, reported and the appropriate sanctions are imposed.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

11.1 SANCTIONS GENERALLY

11.1.1 Sanctions that may be imposed include a fine, license suspension, license revocation or any other action deemed appropriate by the Commission. In the event a license is revoked, the employee may reapply for employment after one year has elapsed since the revocation commenced, and file an appeal with the Office of Hearings and Appeals for reinstatement. The decision of the Office of Hearings and Appeals shall be final for the Commission. Refer to Appendix A – “Enforcement Schedule of Fines and Sanctions”.

APPENDIX A

SILETZ TRIBAL GAMING COMMISSION

ENFORCENEMT SCHEDULE OF FINES AND SANCTIONS

Violation	1st Offense	2nd Offense	3rd Offense
Falls in Other Category (i.e. policies/procedures of the Gaming Operation(s))	\$100-\$500	\$501-\$1,000	\$1,001-\$5,000
Tribal-State Compact	\$1,000-\$3,000	\$3,001-\$5,000	\$4,000-\$5,000
Tribal Internal Control Standards	\$500-\$1,000	\$1,001-\$3,000	\$3,001-\$5,000
Gaming Ordinance	\$500-\$1,000	\$1,001-\$3,000	\$3,001-\$5,000
Indian Gaming Regulatory Act	\$1,000-\$3,000	\$3,001-\$5,000	\$4,000-\$5,000
STGC Regulation, Policy or Procedure	\$500-\$1,000	\$1,001-\$3,000	\$3,001-\$5,000
Combination of 2 or more Laws	\$1,000-\$2,500	\$3,000-\$5,000	\$5,000
Combination of 3 or more Laws	\$3,000	\$4,000	\$5,000

The Commission reserves the right to vary from the schedule of fines as deemed necessary to enforce compliance with applicable laws required of the Gaming Operation(s).

Regulation, Chapter 12

Adopted by STGHC Resolution No. 2003-026 dated 06/05/03

Adopted by STC Resolution No. 2003-296 dated 07/11/03

Adopted by STGHC Resolution No. 2004-028 dated 04/29/04

Adopted by STC Resolution No. 2004-220 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 12

**DIRECT REPORTING
(REGULATORY)**

12.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to provide an independent means of communicating any possible violations to the Commission in a manner that assures the maintenance of confidentiality unless specifically provided otherwise. The Commission shall ensure compliance by the Gaming Operation(s) with all relevant laws, Compact, ordinances, regulations, internal controls, and policies and procedures, in a manner that authorizes direct reporting of possible violations to the Commission by specifically identified individuals, in a form of a written complaint or other manner that is deemed sufficient by the Commission.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

12.1 AUTHORITY TO SUBMIT A COMPLAINT

12.1.1 The Commission shall accept any complaint that is submitted by the following individuals, to be hereafter referenced as the Complainant:

- (a) Employees of the Gaming Operation(s);
- (b) Vendors of the Gaming Operation(s);
- (c) Patrons of the Gaming Operation(s);
- (d) Tribal Council Members; and
- (e) Tribal Members.

12.1.2 A parent or legal custodian shall submit a complaint on behalf of his or her minor child or ward.

12.2 THE COMPLAINT

12.2.1 The process of submitting a complaint to the Commission shall include the filing of a written document, entitled Siletz Tribal Gaming Commission Complaint Form, containing, but not limited to, the following information:

- (a) Identification of the Complainant type (e.g. employee, consultant, vendor, etc.);
- (b) Name of Complainant;
- (c) Mailing address, home and work telephone number of the Complainant;
- (d) Location of the incident;
- (e) Details of the complaint stated in clear and concise manner, to include but is not limited to the following:
 - (1) A narrative of the events that resulted in the possible violation;
 - (2) Date and time the possible violation occurred;
 - (3) The facts that resulted in the occurrence of the possible violation; and
 - (4) Name, addresses, and telephone numbers of any witnesses to the possible violation.
- (f) Attachment of any documents that are relevant to the facts stated in the complaint;
- (g) Signature of the Complainant; and
- (h) Date the Complaint was physically submitted to the Commission.

12.2.2 The Commission shall accept any letter, memorandum, or other written instrument as a complaint if the document:

- (a) Is signed by an individual who is one of the named parties in Section 12.1.1; and
- (b) Communicates a possible violation of any relevant laws, Compact, ordinances, regulations, internal controls, policies and procedures, gaming rules or rules of play.

12.2.3 By accepting any letter, memorandum or other written instrument as a Complaint, in accordance with Section 12.2.2, the Commission shall authorize a Gaming Agent to investigate the Complaint to the fullest extent possible.

12.2.4 The Commission reserves the right to implement an alternative approach to assure direct reporting of possible violations of any relevant laws, Compact, ordinances, regulations, internal controls, policies and procedures, gaming rules or rules of play.

12.2.5 If the individual who makes a Complaint is not available to complete the Complaint, for any reason whatsoever, a member of the Commission shall complete the Complaint, to the best of his or her ability.

12.3 PROCESSING THE COMPLAINT

12.3.1 Processing the Complaint shall include, but not be limited to, the following:

- (a) Preliminary review of the Complaint to determine that the elements set forth in Section 12.2.1, are satisfied in an accurate and complete manner.
- (b) Preliminary interview of the Complainant, if required, to assure that the complaint is accurate and complete; and
- (c) Request for further facts or documentation, if required.

12.3.2 Inclusion of the following information on the original Complaint:

- (a) Alpha-numeric identifier that shall be utilized as the reference number for the Complaint;
- (b) The identity of the Commission employee accepting the Complaint from the Complainant; and
- (c) Date the Complaint was physically received from the Complainant.

12.3.3 Filing of the original Complaint at the office of the Commission; and

12.3.4 Entering the data provided in the Complaint into a database established for the tracking of Complaint submission and subsequent investigation or referral.

12.4 COMPLAINT REVIEW

12.4.1 The Commission shall review the Complaint within seven (7) days of the processing required in Section 12.3.

12.4.2 Review of the Complaint shall include categorization of the possible violation or violations in the following manner:

- (a) Regulatory issues;
- (b) Operational issues; or
- (c) Policy issues.

12.4.3 Review of the issues in Complaint shall result in the following decision(s):

- (a) Referral of the operational issues set forth in the Complaint to the Gaming Operation(s) for resolution;
- (b) Referral of the policy issues set forth in the Complaint to the Commission;
- (c) Investigation of the regulatory issues set forth in the Complaint by the Commission;
- (d) Dismissal of the Complaint if:
 - (1) The Complaint does not raise any issues which are a violation of the relevant laws, Compact, ordinances, regulations, internal controls, policies and procedures, gaming rules, or rules of play;
 - (2) After the investigation is concluded and it is determined no violation has occurred, relevant to the laws, Compact, ordinances, regulations, internal controls, policies and procedures, gaming rules or rules of play.
 - (3) The regulatory issues set forth in the Complaint were resolved or in the process of resolution, in a manner that protects the integrity, honesty, fairness, and security of the Gaming Operation(s); or
 - (4) For any reason that the Commission deems sufficient.
- (e) Any decision the Commission deems sufficient to protect the honesty, integrity, fairness and security of the Gaming Operation(s).

12.4.4 The following information shall be attached to the original Complaint upon conclusion of the review of such Complaint:

- (a) Date the Commission reviewed the Complaint;
- (b) Date the Commission engaged in final decision-making regarding the issues set forth in the Complaint; and

- (c) The final decision of the Commission.

12.4.5 The Commission shall enter the data identified in Section 12.4.5 into a database established for the tracking of Complaint submissions and subsequent investigation or referral.

12.5 COMPLAINT REFFERAL

12.5.1 Any possible violation that is categorized as an operational issue shall be referred to the Gaming Operation(s) for resolution and a notice shall also be provided to the Council as a means of communicating possible violations to such governing body.

12.5.2 The following shall be included in the referral:

- (a) Photocopy of the Complaint;
- (b) Photocopies of any documents that were attached to the Complaint;
- (c) A memorandum from the Commission that includes the following:
 - (1) A statement that the issues set forth in the Complaint are not of a regulatory nature;
 - (2) A statement that the Commission is referring the Complaint to the Gaming Operation(s); and
 - (3) A statement that no action is required of the Council.

12.5.3 Any possible violation that is categorized as a regulatory or policy issue shall be investigated by the Commission, to substantiate or refute the possible violation or violations set forth in the Complaint.

12.6 COMPLAINT INVESTIGATION

12.6.1 Investigation of the issues shall include, but not be limited to, the following:

- (a) Recorded sworn testimony or written statements of the Complainant and other individuals who have a direct or indirect relationship to the possible violation or violations;
- (b) Summary of the recorded testimonies in a manner that assures objectivity and impartiality in communicating such testimony to the Commission;
- (c) Documents or recordings that pertain to the possible violation(s); and
- (d) Any other information obtained in the course of the investigation.

12.6.2 Within 30 days of the receipt of the Complaint, the Commission shall issue a final investigation report and shall either:

- (a) Dismiss the Complaint;
- (b) Issue a notice in accordance with the Commission Regulation, Chapter 10 Enforcement and Compliance;
- (c) Deny, suspend, or revoke the gaming license of any individual who has caused or allowed others to cause any violation through reckless, negligent, intentional, or inadvertent conduct; and/or
- (d) Render any decision the Commission deems sufficient to protect the honesty, integrity, fairness, or security of the Gaming Operation(s).

12.7 APPEAL TO THE OFFICE OF HEARINGS AND APPEALS

12.7.1 After a determination by the Commission is made, the Complainant shall be given the opportunity to submit a petition for appeal to the Office of Hearings and Appeals, within 15 days of receipt of the Commission decision.

Regulation, Chapter 13

Adopted by STGHC Resolution No. 2003-038 dated 08/07/03

Adopted by STC Resolution No. 2003-355 dated 08/14/03

Adopted by STGHC Resolution No. 2004-029 dated 04/29/04

Adopted by STC Resolution No. 2004-221 dated 06/12/04

Adopted by STC Resolution No. 2009-269 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 13

REPORTING TO OSP (TRIBAL GAMING SECTION)

13.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure the Commission has established procedures in place to comply with the reporting requirements of the Compact. It is the intent of this regulation to meet the minimum requirements for filing reports and communicating information to OSP, pursuant to the Compact. As a sovereign government, the Siletz Tribe has the authority to decide under what conditions and circumstances it will consent to the release of the information to outside entities.

The Commission has authority to regulate Gaming Operation(s) and to promulgate and enact regulation pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

13.1 NOTIFICATION AND REPORTING REQUIREMENT GENERALLY

13.1.1 The Commission, on behalf of the Siletz Tribe, shall report specific conduct to the Oregon State Police in compliance with the Compact. The Compact requires the Tribe to notify and provide specific types of reports to OSP. It also requires the Tribe to make requests for a variety of purposes. This regulation only covers conduct, expressly identified in the Compact, which the Tribe has agreed to regarding notifications and/or reporting to the State.

13.2 REPORTING OF NEW GAMES AND CHANGES TO EXISTING GAMES

13.2.1 The Commission shall notify OSP that the Gaming Operation(s) proposes to offer a new game or changes to an existing game to the public in order to provide OSP with the opportunity to review the internal controls, plan, procedures and rules required under the Compact.

13.3 REPORTING OF COMPACT VIOLATIONS

13.2.1 Any material violations of the provisions of the Compact, or of Tribal Ordinances, including Tribal Gaming Ordinances by the Gaming Operation(s), a gaming employee (applicable to the Compact) or any person on the premises whether or not associated with the Gaming Operation(s), shall be reported immediately to the Commission and to OSP within 72 hours of the incident.

13.2.2 The Commission shall provide completed investigation reports and final dispositions (when applicable) to OSP regarding Compact and Gaming Ordinance violations as provided in the Compact.

13.4 NOTIFICATION OF INTENT TO CONTRACT WITH MANUFACTURERS AND SUPPLIERS

13.4.1 Any intent to enter into a proposed Class III Gaming Contract for a major or sensitive procurement must be submitted to OSP for review, comment and a background investigation of the contract applicant.

13.5 REPORTING OF EMPLOYEE LICENSING ACTIVITY

13.5.1 The Commission shall provide a list of all current employees of the Gaming Operation(s) and give notice to OSP of any licensing action (as applicable to the Compact) or termination of an employee related to the fairness, integrity, security and honesty of the Tribe's Class III gaming activity on a monthly basis.

13.5.2 Three (3) Year Renewals of High Security licensed employees of the Gaming Operation(s).

13.6 TRIBAL/STATE MINIMUM INTERNAL CONTROL STANDARDS

13.6.1 The Commission shall report all occurrences, findings and reports to OSP that are required by the Tribal/State MICS.

13.7 COURTESY REPORTING

13.7.1 Nothing in this section shall be construed to create, as a right, the authority for OSP to request information that is not specifically authorized in the Compact. The Commission, however, shall, as a matter of courtesy, report conduct related to the play of Class III games that is not required by the Compact, to OSP, if the following is established:

- (a) A pre-existing agreement between the Tribe and State authorizes dissemination of the information;

- (b) A legitimate interest in the information exists;
- (c) The conduct constitutes a major event; or
- (d) The conduct constitutes a recurring event.

Regulation, Chapter 14

Adopted by STGHC Resolution No. 2000-000 dated 00/00/00

Adopted by STC Resolution No. 2003-043 dated 02/14/03

Adopted by STGHC Resolution No. 2004-030 dated 04/29/04

Adopted by STC Resolution No. 2004-222 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 14

VENDOR LICENSING

14.0 PURPOSE AND AUTHORITY

This regulation is issued to comply with the Confederated Tribes of Siletz Indians of Oregon Gaming Ordinance, the Indian Gaming Regulatory Act, the Tribal-State Compact, and other applicable authorities. The purpose of this regulation is to provide standards for the licensing and permitting of vendors doing business with the Gaming Operation(s), consistent with the regulatory concerns of the tribal, federal and state regulatory agencies while at the same time facilitating the business needs of the Gaming Operation(s), maximizing cost savings and returning maximum revenues to the Tribe and tribal members.

The Commission has authority to regulate Gaming Operation(s) and to promulgate and enact regulation pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

14.1 LICENSING AND PERMITTING REQUIREMENTS

14.1.1 Class II Gaming vendors shall obtain a gaming license from the Commission before commencing to provide goods and/or services to the Gaming Operation(s), using the following process:

- (a) Upon determining the need to enter into a contract or agreement for the provision of Class II goods and/or services, the Gaming Operation(s) will submit a Letter of Intent and a request for the Commission to classify the contractual goods and/or services and to apply a regulatory code to the proposed contract. The Letter of Intent will include the projected annual value of the proposed contract. A copy of the contract will also be included.

- (b) The Commission will, upon receipt of the Letter of Intent, send an application for a Class II Gaming vendor's license to the proposed contractor.
- (c) Upon receipt by the Commission of a complete Class II Gaming vendor's application from the applicant, and all request attachments, and after the applicant has paid any applicable gaming vendor licensing fee, the Commission will issue a temporary gaming license to the vendor and the Gaming Operation(s) may commence business with the vendor.
- (d) The Commission will then commence the applicable high or low security background investigation and licensing procedure for gaming vendors as set forth in the Commission's regulations. Upon completion of that procedure and a determination that the vendor may be licensed, the vendor will be issued a permanent gaming vendor license.
- (e) If the proposed vendor does not qualify for a Class II Gaming vendor's license or if at any time while licensed the Commission determines that the contract or activities of the vendor pose a threat to the fairness, integrity, security or honesty of the Gaming Operation(s), the Commission will order the Gaming Operation(s) to immediately cease all business operations with the vendor.
- (f) The Commission may review, audit or investigate any Class II Gaming vendor at any time.

14.1.2 Class III Gaming vendors shall obtain a gaming license from the Commission before commencing to provide goods and/or services to the Gaming Operation(s), using the following process:

- (a) Upon determining the need to enter into a contract or agreement for the provision of Class III goods and/or services, the Gaming Operation(s) will submit a Letter of Intent and a request for the Commission to classify the contractual goods and/or services and to apply a regulatory code to the proposed contract. The Letter of Intent will include the projected annual value of the proposed contract. A copy of the contract, if applicable, will also be included.
- (b) The Commission will, upon receipt of the Letter of Intent, send an application for a Class III Gaming vendor's license to the proposed contractor.

- (c) Upon receipt by the Commission of a complete Class III Gaming vendor's application from the applicant, and all requested attachments, and after the applicant has paid any applicable gaming vendor licensing fee and necessary preliminary background checks have been completed, the Commission may issue a temporary gaming license to the vendor and the Gaming Operation(s) may commence business with the vendor. The application, background check and other relevant materials will be provided to the Oregon State Police as provided for in the Tribal-State Compact and as conducted pursuant to policy and procedural arrangements between the Commission and OSP.
- (d) The Commission will then commence the applicable high or low security background investigation and licensing procedure as set forth in the Commission's regulations. Upon completion of that procedure and a determination that the vendor may be licensed, the vendor may be issued a permanent Class III Gaming vendor license.
- (e) If the proposed vendor does not qualify for a Class III Gaming vendor's license, or if OSP determines that the vendor is not qualified to do business with the Gaming Operation(s) or if at any time while licensed the Commission determines that the contract or activities of the vendor pose a threat to the fairness, integrity, security or honesty of the Gaming Operation(s), the Commission will order the Gaming Operation(s) to immediately cease all business operations with the vendor.
- (f) The Commission may review, audit or investigate any Class III Gaming vendor at any time.

14.1.3 Non-gaming vendor's policy:

- (a) Non-gaming vendors shall not be subject to the same stringent investigation and licensing standards that gaming vendors are subjected to. Non-gaming vendors shall be issued permits by the Commission as opposed to licenses. A presumption shall exist that any non-gaming vendor which has conducted business for a year or more within the State of Oregon or with the Tribe or Gaming Operation(s) is a legitimate enterprise that does not require extraordinary scrutiny or investigation. Non-gaming vendors shall not be subject to the investigations and background checks conducted on high or low security gaming vendor applicants, and shall not be required to meet the standards applied to high or low security gaming vendors in order to conduct business with the Gaming Operations(s).

14.1.4 Non-gaming vendors: Annual purchases less than \$100,000:

- (a) Non-gaming vendors who desire to enter into or who have entered in contract with the Gaming Operation(s) where the total annual value of all contracts involving such vendor totals less than \$100,000 will not require a license or permit from the Commission in order to provide non-gaming goods and/or services to the Gaming Operation(s).
- (b) The Gaming Operation(s) will be responsible for exercising and demonstrating due diligence in entering into a contract with a non-gaming vendor for the provision of non-gaming good and/or services to the Gaming Operation(s).
- (c) The Gaming Operation(s) will forward a copy of all executed non-gaming contracts to the Commission for the Commission to classify the contracts and to assign it a regulatory code.
- (d) The Gaming Operation(s) will keep a file of every non-gaming contract it enters into with a non-gaming vendor. The Commission shall have the right to review any non-gaming vendor contract at any time and to investigate any non-gaming vendor doing business with the Gaming Operation(s) at any time if the Commission has reason to believe that the vendor or the vendor's activities may threaten the fairness, integrity, security or honesty of the Gaming Operation(s). The Gaming Operation(s) shall provide the Commission with access to its non-gaming vendor records and files upon request.
- (e) If at any time the Commission determines that a non-gaming vendor poses a threat to the fairness, integrity, security or honesty of the Gaming Operation(s), the Commission may order the Gaming Operation(s) to cease to business with the vendor. Such regulatory action by the Commission shall supersede any contractual right or terms said vendor might have.

14.1.5 Non-gaming vendors: Annual purchases of \$100,000 or more:

- (a) The following permit process will be applied to non-gaming vendors with whom the Gaming Operation(s) proposes to enter into contracts that have a projected annual value of \$100,000 or more. All contracts currently entered into or proposed involving a particular non-gaming vendor (including vendors who may operate under one or more different companies) shall be combined for purposed of determining whether the threshold of \$100,000 has been reached. If a non-gaming vendor is below

the \$100,000 annual value level and enters into or proposes to enter into additional contracts, which will bring the total annual goods and/or services provided by that vendor over \$100,000 in annual value, the provisions of the subsection will be complied with before such additional contracts are finalized or such goods and/or services may be provided, as set forth below:

- (1) Upon determining to enter into a contract for non-gaming goods and/or services in a projected annual amount of \$100,000 or more, or when the Gaming Operation(s) determines that the total amount of goods and/or services provided by a particular non-gaming vendor is likely to meet or exceed \$100,000 in annual value, the Gaming Operation(s) shall notify the Commission and provide the Commission with vendor due diligence information, including a Dun & Bradstreet or equivalent check and including all proposed or existing contracts with the vendor.
- (2) The Commission will assign a regulatory code to the non-gaming vendor. The Commission will issue a non-gaming vendor permit to the vendor, which may be subject to a reasonable processing fee.
- (3) The Gaming Operation(s) may conduct business with the vendor upon submittal of vendor information and/or the proposed contract to the Commission and after issuance of a non-gaming vendor permit. For vendors with existing contractual relationships with the Gaming Operation where new contracts for goods and/or services will increase the total vendor goods and/or services past an annual value of \$100,000, the Gaming Operation(s) may continue doing business with the vendor while the Commission receives due diligence documentation from the Gaming Operation(s) and issues its non-gaming vendor permit.
- (4) The Gaming Operation(s) will keep a file of every non-gaming contract it enters into with a non-gaming vendor. The Commission shall have the right to review any non-gaming vendor contract at any time and to investigate any non-gaming vendor doing business with the Gaming Operation(s) at any time if the Commission has reason to believe that the vendor or the vendor's activities may threaten the fairness, integrity, security or honesty of the Gaming Operation(s). The Gaming Operation(s) shall provide the Commission with access to its non-gaming vendor records and files upon request.

- (5) If at any time the Commission determines that a non-gaming vendor poses a threat to the fairness, integrity, security or honesty of the Gaming Operation(s), the Commission may order the Gaming Operation(s) to cease doing business with the vendor, and may revoke the permit of such vendor. Such regulatory action by the Commission shall supersede any contractual right or terms said vendor might have.

14.1.6 Entertainment, Professional Services, Non-Gaming Consultants, and Advertising, Marketing and Media Vendors:

- (a) Entertainment, professional services, non-gaming consultants, and advertising, marketing and media vendors as defined by these regulations shall be classified as non-gaming vendors.
- (b) Vendors in these categories shall not require a license from the Commission regardless of whether the contracts, goods and/or services to be provided such vendors have an annual value of \$100,000 or more. The Gaming Operation(s) will follow the procedures set forth in these regulations for non-gaming vendors with contract with an annual value less than \$100,000 in contracting with such vendors, and the Commission shall exercise its general regulatory authority over such vendors pursuant to those same procedures.

14.2 MISCELLANEOUS PROVISIONS

14.2.1 Annual List:

- (a) The Gaming Operation(s) will provide the Commission with a list of all gaming and non-gaming vendors on an annual basis. The list will include an annual value of all contracts and goods and/or services attributable to each vendor.

14.2.2 Assignment of Annual Value:

- (a) The Gaming Operation(s) will develop and assign an annual value to each contract entered into or proposed to be entered into by the Gaming Operation(s). In some cases a total contract amount is not included in a contract, in which case the Gaming Operation(s) will develop an annual value for such contract which may, in appropriate cases, be the amount budgeted for those goods and/or services.

14.2.3 Contract Provisions:

- (a) To the extent possible, the Gaming Operation(s) will include a provision in each contract entered into between a vendor and the Gaming Operation(s) providing that the contract shall be terminated for cause if the Commission orders the Gaming Operations(s) to cease doing business with the vendor for regulatory reasons. The inclusion or absence of such language in a contract or agreement shall not affect the authority of the Commission to order the Gaming Operation(s) to cease doing business with a particular vendor, pursuant to the Commission's Regulations.

14.3 REGULATORY CODES

14.3.1 The Commission will assign regulatory codes to all vendors doing business with the Gaming Operation(s), using the following procedure:

- (a) The first digit in the three (3) digit alpha-numeric code will denote whether a single vendor is providing goods and/or services to the Gaming Operation(s) with a projected annual value of over \$100,000. A zero (0) will denote less than \$100,000 and a one (1) will denote a value of \$100,000 or greater.
- (b) The second digit will show the gaming classification for the vendor. A one (1) will be used for non-gaming vendors, a two (2) will be used for the Class II gaming vendors, and a three (3) will be used for Class III Gaming vendors.
- (c) The final digit of the three (3) digit alphanumeric code will show the entity that will be responsible for conducting the background check on the vendor. An (A) will mean the Commission will be conducting the background investigation, (E) will mean the vendor is exempt from licensing and background investigation, (F) means the Gaming Operation(s) is responsible for conducting any background investigation, and (S) means OSP is responsible for conducting the background investigation.

Regulation, Chapter 15

Adopted by STGHC Resolution No. 2003-027 dated 06/05/03

Adopted by STC Resolution No. 2003-297 dated 07/11/03

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Adopted by STC Resolution No. 2004-223 dated 06/12/04

Adopted by STC Resolution No. 2009-270 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 15

NON-GAMING ACTIVITIES

15.0 PURPOSE AND AUTHORITY

The Purpose of this regulation is to further establish the regulatory framework under which the Gaming Operation(s) operates.

The Commission's regulatory authority extends over all Gaming Operation(s) of the Tribe, including the activities of the Tribal Council in its Gaming Operation(s) Oversight Role as set forth in the Charter. (Charter 6.65)

15.1 AUTHORIZED NON-GAMING ACTIVITIES

15.1.1 The following non-gaming activities are authorized to occur at the Gaming Operation(s):

- (a) Food and Beverage;
- (b) Gift Shop;
- (c) Wardrobe;
- (d) Entertainment;
- (e) Child Care/Arcade;
- (f) Human Resources;
- (g) Marketing;
- (h) Player Services;
- (i) Facilities;
- (j) Finance/Accounting;
- (k) Cage;

- (l) Soft Count;
- (m) Administration;
- (n) Convention Activities;
- (o) Security;
- (p) Surveillance;
- (q) Hotel Operations;
- (r) Golf Course; and
- (s) Any other activity that is authorized by the Siletz Tribal Council.

Regulation, Chapter 16

Adopted by STGHC Resolution No. 2030-045 dated 09/30/03

Adopted by STC Resolution No. 2003-437 dated 10/16/03

Adopted by STGHC Resolution No. 2004-032 dated 04/29/04

Adopted by STC Resolution No. 2004-224 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 16

BRIBES, VENDOR SPIFFS, KICKBACKS AND VENDOR GIFTS

16.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to ensure the honesty, integrity, fairness and security of the Gaming Operation(s) is not compromised by the offer of, or the acceptance of any bribe, vendor spiff, kickbacks or vendor gifts to any employee of the Gaming Operation(s).

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

16.1 GENERAL

16.1.1 Under no circumstances shall any employee accept a bribe, kickback or vendor spiff. Any employee who receives such an offer shall report this to their supervisor who shall then report the incident to the General Manager, Director of Compliance, and Executive Director of the Commission. Any item received shall be turned in to Security to be maintained in a secure area until disposition of the case has been made.

16.1.2 With the exception of Gaming Operation(s) employees who are authorized to accept tips from patrons, employees are prohibited from accepting personal favors, gifts or other forms of compensation from individuals or organizations doing business with the Gaming Operation(s) or the Commission. However, an employee may accept such items if there is no likelihood of improper influence or the appearance of improper influence and if the item is one of the following:

- (a) A non-cash gift of nominal value (\$25.00) such as received at holidays;
- (b) Gifts available to the general public under the same conditions as they are available to the employee;

- (c) Civic, charitable, educational or religious organization awards for recognition of service and accomplishment;
- (d) Gifts because of kinship, marriage or social relationship apart from any business with the Tribe; or
- (e) Trips, guest accommodations or other travel expenses that could otherwise be reimbursed as a legitimate business expense and that involve formal representation of the Tribe or conduct of Tribal business.

16.1.3 Employees are prohibited from soliciting or accepting anything of value from anyone in return for any business, service or confidential Gaming Operation(s) or Commission information. Employees are likewise prohibited from using their position with the Gaming Operation(s) or Commission to obtain any items or benefits not otherwise available to the general public.

16.2 ROLE OF THE COMMISSION

16.2.1 The Commission shall ensure the Gaming Operation(s) has procedures established to administer, monitor and ensure compliance with this regulation.

Regulation, Chapter 17

Adopted by STGHC Resolution No. 2003-028 dated 06/05/03

Adopted by STC Resolution No. 2003-393 dated 09/12/03

Adopted by STGHC Resolution No. 2004-033 dated 04/29/04

Adopted by STC Resolution No. 2004-225 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 17

COMPLIMENTARY ITEMS ISSUED OR AUTHORIZED BY THE SILETZ TRIBAL COUNCIL IN ITS GAMING OPERATION OVERSIGHT ROLE

17.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to establish regulatory guidelines governing the issuance or authorization of complimentary items (“comping” or “comps”) by the Siletz Tribal Council and Tribal Council members acting in their Gaming Operation Oversight Role (“Gaming Council”) to third persons, to provide for the proper classification of complimentary items and expenses of the Gaming Operation(s), and to provide for review and audit of complimentary items issued and expenses incurred by the Gaming Council, by the Commission, other relevant regulatory agencies, and independent auditors.

The Gaming Operation(s) has established, as a feature of its marketing and promotional program, the emphasis and image of an Indian owned and operated business and in particular the ownership of the business by the Siletz Tribe, as a means of contributing to the success and profitability of the Gaming Operation(s). The Siletz Tribal Council members in their Gaming Operation Oversight Role act as the representative of the Siletz Tribe. The Commission finds that this goal is reasonable and related to the business purposes of the Tribe’s Gaming Operation(s).

Gaming Operation(s) management has requested Tribal Council participation in the marketing and promotion of the Gaming Operation(s). The Gaming Council has established a policy of visibility as it relates to the Gaming Operation(s). In this marketing strategy, the Tribal Council and Council members act as ambassadors of the Gaming Operation(s). Tribal Council members have been given limited comping authority by Gaming Council policy, by request of the Gaming Operation(s) management, to assist in the promotion and marketing of the Gaming Operation(s). The Commission finds that this limited comping authority to be a reasonable and business-related purpose of the Tribe’s Gaming Operation(s), and does not operate to give the Tribal Council authority over the working policy of the Gaming Operation(s).

By Tribal Council policy, any expenses incurred by the Gaming Council shall be charged to the Gaming Operation Oversight budget or the appropriate Gaming Operation(s) budget. The

Commission finds this policy is reasonable and related to the business purposes of the Tribe's Gaming Operation(s).

17.1 POLICY

17.1.1 The Internal Audit Department will review and audit all comps issued by the Gaming Council to ensure compliance with the Indian Gaming Regulatory Act, Tribal Gaming Ordinance, Commission Regulations including this regulation, and with the Compact between the Siletz Tribe and the State of Oregon. The Commission will require the correction of comps that have been issued or authorized or expenses that have been incurred by the Gaming Council in violation of any of these authorities, and will take enforcement action if corrections are not made in timely fashion or if intentional violations occur. Such enforcement action may include the impositions of fines, the repayment of the disallowed expense and such other enforcement action as is provided for in the Commission Regulations.

17.1.2 The Commission will review and audit comps as defined above to determine whether they should be disallowed and whether other enforcement action should be taken.

17.1.3 The Commission will be guided by the following policy statements in reviewing and auditing comps issued or authorized by the Gaming Council:

- (a) Comps will not be issued or authorized to cover expenses incurred by the Gaming Council while engaged in authorized Gaming Council activities. Authorized Gaming Council expenses will be charged to the Gaming Council budget or other appropriate Gaming Operation(s) budget category, and will not be charged as a comp expense;
- (b) Gaming Operation(s) management will review Gaming Council expenses on a monthly basis to ensure that activities have been properly charged as a comp or as an expense, and will correct comps that should be charged as an expense. Nothing in this regulation is intended to authorize the Gaming Council or tribal government or its employees to incur expenses for evaluating gaming operation activities if the Gaming Council or tribal employee does so with the intent of retaining any winnings from the play of a Gaming Operation(s) game;
- (c) The Gaming Operation(s) shall not issue or authorize comps on behalf of the Gaming Council. The Gaming Council will issue or authorize comps to others, within the scope of their authority to do so. The Gaming Operation(s) may charge expenses incurred by the Gaming Council while

engaged in authorized activities to the Gaming Council or other appropriate budget;

- (d) Tribal Council governmental and tribal departmental events or activities will not be covered or charged as a comp. Such expenses as tribal governmental expenses, will be billed by the Gaming Operation(s) to the Tribe, and reimbursed from tribal funds to the Gaming Operation(s). The General Manager of the Gaming Operation(s) may decide to absorb, sponsor, subsidize or cover the costs of a tribal governmental or tribal departmental activity when the General Manager, in his or her business judgment, determines and confirms in writing that underwriting all or a portion of tribal government expense constitutes a Gaming Operation(s) expense because it will generate revenues for the Gaming Operation(s) or will advance the business purposes of the Gaming Operation(s). The Commission will review and audit General Manager decisions made under this subsection on an annual basis or more frequently as appropriate to determine whether the expenses are properly charged to the Gaming Operation(s);
- (e) Comps will be issued or authorized by the Gaming Council in conformance with the Gaming Council comp budget, which will be established annually. Comps will not be issued or authorized in a total amount by the Gaming Council in excess of the Gaming Council comp budget unless that budget is modified by Gaming Council resolution;
- (f) The Tribal Council and Tribal Council members acting in their tribal governmental role shall not issue or authorize comps;
- (g) The Gaming Council will not issue comps to itself. The Gaming Council will not issue or authorize comps to immediate family members as defined by the Tribal Council Ethics Code or to persons who would be otherwise ineligible to receive a comp from the Gaming Council because the comp would not advance the business purposes of the Gaming Operation(s);
- (h) Allowable comp items or services that the Gaming Council may issue or authorize include food and beverage items at any Gaming Operation(s) dining venue. The Gaming Council is authorized to distribute entertainment and event tickets as a marketing or promotional activity of the Gaming Operation(s) as set out in Gaming Council Policy #1. The Gaming Council may be issued tickets, pursuant to Gaming Council Policy #1. Meal comps issued or authorized by the Gaming Council members will set out either a specific dollar amount per person (not to

exceed \$50 per person), set a maximum dollar amount for the comp, or be for a meal for a specific number of people at a specific dining venue (without a dollar amount);

- (i) All comps issued or authorized by the Gaming Council will include sufficient documentary information for the Commission to determine whether a comp was validly issued or authorized in conformance with this regulation; and
- (j) All expenses charged by the Gaming Council will include sufficient documentary information for the Commission to determine that the expense was incurred in conjunction with an authorized Gaming Council activity or function.

17.1.4 The Gaming Operation(s) accounting department will set up a separate account, which will document and record any and all comps issued or authorized by the Gaming Council. The Gaming Operation(s) will prepare a monthly report on Gaming Council Comps, which will be submitted to the Gaming Council, with a copy to the Commission, by the date of the regular monthly Gaming Council meeting.

17.1.5 The Commission will review each monthly Gaming Council comp report for compliance within 30 days of receipt.

17.1.6 The Commission will submit a report based upon its review of the comp report to the Gaming Council, identifying any questioned comps and requesting that such comps be corrected or that other remedial action be taken.

17.1.7 Any identified variances which are not immediately corrected, or which reoccur on a continuing basis, will be brought to the attention of the Tribal Council, by the Commission, through the use of Chapter 10 of these regulations.

17.1.8 The Commission, in its annual engagement letter with an independent auditor to audit the Gaming Operation(s) pursuant to IGRA and the Tribal-State Compact, will specifically request the auditor to audit Gaming Council comps for the previous calendar year for compliance with Gaming Council Policy #1 and this regulation.

Regulation, Chapter 18

Adopted by STGHC Resolution No. 2003-029 dated 06/05/03

Adopted by STC Resolution No. 2003-347 dated 07/11/03

Adopted by STGHC Resolution No. 2004-034 dated 04/29/04

Adopted by STC Resolution No. 2004-226 dated 06/12/04

Adopted by STC Resolution No. 2009-271 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 18

EMPLOYEE AND VENDOR GAMING

18.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to establish a regulation governing the scope of gaming allowable by employees and vendors at the Gaming Operation(s).

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for the Regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

18.1 APPLICABILITY AND RELATION TO OTHER LAWS

18.1.1 This regulation applies to the Commission and all proceedings conducted therein, unless exempted therefrom, either express or implied.

18.1.2 To the extent that any other applicable rule would diminish a right created or duty imposed by this regulation, this regulation shall supersede all others.

18.2 GENERAL RULE ON EMPLOYEE AND VENDOR GAMING

18.2.1 Any employee or vendor may directly or indirectly engage in game play within the Gaming Operation(s) unless exclusively or conditionally prohibited by any provision stated within the regulation.

18.3 EXCLUSIVE PROHIBITION ON GAME PLAY

18.3.1 The following Primary Management positions are expressly prohibited from engaging in direct or indirect game play within the Gaming Operation(s):

- (a) General Manager;

- (b) Director of Casino Operations;
- (c) Director of Finance;
- (d) Director of Security;
- (e) Director of Information Technology; and
- (f) Director of Compliance.

18.3.2 The Commission may add or remove positions, which are also prohibited from engaging in direct or indirect game play within the Gaming Operation(s).

18.3.3 Gaming vendor representatives shall not play or wager on any slot machine manufactured or distributed by the company they represent, unless waived by the Executive Director of the Commission.

18.3.4 Commission employees are expressly prohibited from engaging in direct or indirect game play within the Gaming Operation(s). With the exception, the following employees are permitted to engage in Class II Gaming only:

- (a) Administrative Assistant; and
- (b) Licensing Assistant.

18.4 POSITION RECLASSIFICATION AND ESTABLISHMENT

18.4.1 The Gaming Operation(s) shall notify the Commission of all position reclassifications and new positions.

18.4.2 Notice to the Commission shall occur ten (10) working days prior to the actual date of reclassification or new positions.

18.4.3 The Commission shall determine the game play status of the position.

18.4.4 The position shall be deemed exclusively prohibited from engaging in game play within the Gaming Operation(s) until the Commission provides notice of the game play status.

18.4.5 Failure of the Gaming Operation(s) to provide notice of position reclassification or new position may result in imposition of sanctions in accordance with all applicable laws of the Confederated Tribes of Siletz Indians of Oregon.

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 19

ENVIRONMENTAL, PUBLIC HEALTH AND SAFETY STANDARDS

19.0 PURPOSE AND AUTHORITY

The Commission is responsible for regulation of the Tribal Gaming Operation(s) and any other gaming activities within the jurisdiction of the Tribe. The Commission shall adopt this regulation to carry out its regulatory duties, responsibilities, and requirements for adoption and enforcement of ordinances and regulations governing health and safety standards per the Tribal-State Compact, Section 11, Applications of State Regulatory Standards and NIGC Environmental, Public Health and Safety, and other applicable laws or requirements.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an Inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

19.1 ROLE OF THE COMMISSION

19.1.1 The Commission shall ensure the Gaming Operation(s) has policies and procedures established to monitor and ensure compliance with this Regulation.

19.2 GAMING OPERATION(s)

19.2.1 Gaming Operation's Policies and Procedures regarding Environmental, Public Health and Safety will be submitted to the Commission for review and approval.

19.3 ENFORCEMENT AND COMPLIANCE

19.3.1 Violations and compliance will be resolved through the Commission's Regulations Chapter 10, Enforcement and Compliance.

Regulation, Chapter 20

Adopted by STGHC Resolution No. 2003-030 dated 06/05/03

Adopted by STC Resolution No. 2003-298 dated 07/11/03

Adopted by STGHC Resolution No. 2004-036 dated 04/29/04

Adopted by STC Resolution No. 2004-227 dated 06/12/04

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 20

ERASABLE PROGRAMMABLE READ-ONLY MEMORY OR OTHER NON-ALTERABLE STORAGE MEDIA

20.0 PURPOSE AND AUTHORITY

The purpose for this regulation is to establish a process that ensures the integrity of the slot machine games through the protection and security of the EPROM(s), or other non-alterable storage media.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

**20.1 EPROM(S), OR OTHER NON-ALTERABLE STORAGE MEDIA
VERIFICATION AND INVENTORY**

20.1.1 EPROM(s), or other non-alterable storage media, shall be shipped from the manufacturer directly to the Commission.

20.1.2 The Commission shall verify that the received EPROM(s), or other non-alterable storage media, match the manufacturer's packing slip and shall maintain a receipt log that includes the following information:

- (a) Date the EPROM(s), or other non-alterable storage media were received;
- (b) Manufacturer's name of the EPROM(s), or other non-alterable storage media;
- (c) Game description of the EPROM(s), or other non-alterable storage media;
- (d) Quantity of EPROM(s), or other non-alterable storage media per game description; and

- (e) Name of the Commission personnel who received/logged in the EPROM(s), or other non-alterable storage media.

20.1.3 The Commission shall verify all received EPROM(s), or other non-alterable storage media to ensure that the signature matches the approved independent laboratory report and take the following appropriate action:

- (a) EPROM(s), or other non-alterable storage media that have a signature matching the third party report, may be installed in a slot machine or stored in a secured location, under 24 hour camera coverage; or
- (b) EPROM(s), or other non-alterable storage media that do not match the report, shall be returned to the manufacturer for replacement.

20.1.4 The Commission shall maintain a perpetual inventory of all EPROM(s), or other non-alterable storage media including, but not limited to, the following identification information:

- (a) EPROM(s), or other non-alterable storage media serial number; and
- (b) EPROM(s), or other non-alterable storage media location as follows:
 - (1) EPROM(s), or other non-alterable storage media stored in the secure location shall be identified as Commission; or
 - (2) EPROMS(s), or other non-alterable storage media installed in slot machines shall be identified by date installed, slot machine number, machine serial number, and logic board wire numbered seal.

20.2 SLOT MACHINE GAME EPROM(S), OR OTHER NON-ALTERABLE STORAGE MEDIA INTEGRITY

20.2.1 The Commission shall ensure the integrity of all installed slot machine game EPROM(s), or other non-alterable storage media as follows:

- (a) All slot machine logic boards shall be locked; and
- (b) All slot machine logic boards shall be secured to the machine by a galvanized wire and a numbered seal.

20.2.2 The Commission shall maintain an inventory of all numbered seals as follows:

- (a) Unused wires and numbered seals shall be stored in a secure location and identified as Commission.

- (b) Wires and numbered seals currently installed in slot machines shall be identified as per 20.1.4(b)(2) of this regulation; or
- (c) Wire and numbered seals removed from slot machines and destroyed shall be identified as date destroyed.

20.2.3 Removal of the wire and numbered seals permitting access to the slot machine logic board is restricted to Commission personnel only.

20.2.4 The Commission shall provide sufficient coverage of the Gaming Operation(s) to minimize slot machine down time due to the requirements contained in this regulation.

Regulation, Chapter 21

Adopted by STGHC Resolution No. 2003-031 dated 06/05/03

Adopted by STC Resolution No. 2003-352 dated 08/14/03

Adopted by STGHC Resolution No. 2004-37 dated 04/29/04

Adopted by STC Resolution No. 2004-228 dated 06/12/04

Adopted by STC Resolution No. 2009-272 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 21

REVIEW AND APPROVAL OF GAMING OPERATION(S) POLICIES AND PROCEDURES

21.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to establish a procedure whereby Gaming Operation(s) policies and procedures that involve or affect regulatory concerns or activities are forwarded by the Gaming Operation(s) after internal preliminary approval by the Gaming Operation(s) to the Commission for final Commission approval after review.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

21.1 SUBMISSION OF GAMING OPERATION(S) POLICIES AND PROCEDURES TO THE COMMISSION

21.1.1 When the Gaming Operation(s) has given preliminary approval to a Gaming Operation(s) policy or procedure that involves or impacts regulatory concerns or activities, the General Manager of the Gaming Operation(s) shall transmit the proposed Gaming Operation(s) policy or procedure to the Commission, to the attention of the Commission Executive Director, for review and approval.

21.1.2 Gaming Operation(s) policies and procedures transmitted to the Commission pursuant to this regulation shall not become effective until approval by the Commission, as set forth in this regulation.

21.2 REVIEW AND APPROVAL OF GAMING OPERATION(S) POLICIES AND PROCEDURES BY THE COMMISSION

21.2.1 Gaming Operation(s) policies and procedures submitted to the Commission by the Gaming Operation(s), shall be reviewed by the Commission staff for compliance with applicable laws, regulations and regulatory standards within ten (10) business days.

21.2.2 Upon completion of review of the Gaming Operation(s) policy or procedure, the Commission will determine the action to be taken as follows:

- (a) If the Commission has no concerns with the policy or procedure, it is deemed approved.
- (b) If the Commission has concerns with the policy or procedure, it is returned to the Gaming Operation(s) with those concerns noted and, where appropriate, recommended language changes. Upon reconsideration and further action, the Gaming Operation(s) shall return the policy or procedure to the Commission for further review.
- (c) The policy or procedure shall be approved and returned to the Gaming Operation(s) for further processing and notification; or
- (d) The policy or procedure shall be denied.

21.3 MISCELLANEOUS

21.3.1 The Commission from time to time may inspect Gaming Operation(s) policies and procedures to see whether any Gaming Operation(s) policies and procedures that have not been transmitted to the Commission for review and approval involve regulatory concerns and activities that require such actions.

21.3.2 Amendments or changes to Gaming Operation(s) policies and procedures shall follow the requirements of this regulation.

Regulation, Chapter 22

Adopted by STGHC Resolution No. 2004-038 dated 04/29/04

Adopted by STC Resolution No. 2004-229 dated 06/12/04

Adopted by STC Resolution No. 2009-273 dated 07/10/09

Adopted by STC Resolution No. 2014-074 dated 03/14/14

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 22

BADGES

22.0 PURPOSE AND AUTHORITY

The purpose of this regulation is to protect the security of the Gaming Operation(s).

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulations pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, and inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Tribe through the Commission.

22.1 BADGES

22.1.1 The Executive Director, or designee, shall issue to Licensed Employees gaming license badges which shall:

- (a) Be worn during working hours;
- (b) At a minimum, state the licensee's name and position; and
- (c) Be coded in such a manner as to identify the security level at which they are licensed, and such coding shall be visible from a distance of at least 20 feet, when the badge is displayed.

22.1.2 Licensed Employees are allowed to wear service recognition pins and buttons issued by the Gaming Operation(s) on their gaming license badge, holder, or lanyard as long as the badge remains clearly visible.

22.1.3 For personnel routinely assigned to other positions within their security classifications, or lower, the Executive Director shall issue a badge for the primary position and a badge for the secondary position(s).

- 22.1.4 Badges shall also be issued to all Commission personnel, Tribal Council members and the Internal Auditor(s) assigned audit functions of the Gaming Operation(s).
- 22.1.5 Badges may be issued to the Tribal Attorney, External Auditors, CTSI GM, CTSI Asst. GM and Athletic Commission.
- 22.1.6 Commission personnel shall have their identification badges in their immediate possession. When in any employee-only areas, Commission personnel must have identification displayed.
- 22.1.7 All badges are the property of the Commission. All badges shall be returned to the Commission upon separation from employment, license suspension or revocation.
- 22.1.8 Commission employees shall undergo the same background investigation as a High Security Licensee, and should the Commission employee transfer to the Gaming Operation(s), their badge may convert to a Class III gaming license without further investigation. On an annual basis all Commission and Internal Audit Department employees shall undergo a routine criminal history check.
- 22.1.9 Whenever the Gaming Operation(s) needs limited duration or temporary employees, those employees may be employed for up to, but not exceeding three (3) months, after a cursory background check to ensure those employees do not pose an immediate threat to the fairness, integrity, honesty or security of the Gaming Operation(s). These badges will be clearly identifiable as temporary and limited in access.
- 22.1.10 The Gaming Operation(s) must provide the Commission the name(s) of the potential temporary employees within five (5) business days prior to start date.

SILETZ TRIBAL GAMING COMMISSION

CHAPTER 23

FACILITY LICENSE STANDARDS

23.0 PURPOSE AND AUTHORITY

The Commission is responsible for regulation of the Gaming Operation(s) of the Tribe and any other gaming activities within the jurisdiction of the Tribe. §6.6.5(a). The Commission adopts this regulation to carry out its regulatory duties, responsibilities, and requirements for adoption and enforcement of ordinances and regulations governing health and safety standards per the Tribal-State Compact, Section 11, Applications of State Regulatory Standards, and per the Siletz Tribal Gaming Ordinance adopted in compliance with the National Indian Gaming Sections 522.4(6) and 552.6(b), which requires the Tribe to issue a separate license to each place, facility, or location on Indian lands where Class II or Class III Gaming is played.

The Commission has authority to regulate the Gaming Operation(s) and to promulgate and enact regulation pursuant to delegated authority from the Siletz Tribal Council as a matter of law under the Siletz Constitution. In addition, the Tribal-State Compact for regulation of Class III Gaming between the Confederated Tribes of Siletz Indians of Oregon and the State of Oregon, an inter-governmental agreement between the Tribe and State entered into pursuant to federal law, sets out responsibilities to be carried out by the Siletz Tribe through the Commission.

23.1 CONDITIONS FOR ISSUANCE OF FACILITY LICENSE

23.1.1 A facility license shall be issued or renewed upon determination of the Commission that the facility is in substantial compliance with all applicable laws, regulations and policies.

23.2 ENFORCEMENT AND COMPLIANCE

23.2.1 If the Commission determines that the Gaming Operation(s) is not in compliance with all applicable laws, regulations and policies, the Commission has within its authority to suspend, place restrictions or withdraw the facility license as the Commission deems just and proper.