

NATIONAL INDIAN GAMING COMMISSION
MICS AUDIT CHECKLIST
TABLE GAMES (TG)

| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|---------------------------------------|---|-------|-------|------------|-----------------|---------|
| (c) Fill and credit standards. | | | | | | |
| 1. | Are fill/credit slips in at least triplicate form, in a continuous pre-numbered series, concurrently numbered in a form utilizing the alphabet and only in one series at a time? (Examination of records) (Note: The alphabet need not be used if the numerical series is not repeated during the business year.) | _____ | _____ | _____ | 542.12(c)(1) | |
| 2. | Are unissued and issued fill/credit slips safeguarded and are adequate procedures employed in the distribution, use and control of same (Perpetual inventory of un-issued slips)? (Inquiry and review supporting documentation) | _____ | _____ | _____ | 542.12(c)(2) | |
| 3. | Do personnel from the cashier or pit departments have no access to the secured (control) copies of the fill/credit slips? (Observation and inquiry) | _____ | _____ | _____ | 542.12(c)(2) | |
| 4. | When a fill/credit slip is voided, does the cashier clearly mark "void" across the face of the original and first copy, the cashier and one other person independent of the transaction sign both the original and first copy, and submit them to the accounting department for retention and accountability? (Examination of records/ review supporting documentation) | _____ | _____ | _____ | 542.12(c)(3) | |
| 5. | Are fill transactions authorized by a pit supervisory personnel prior to the issuance of fill slips and transfer of chips, tokens, or cash equivalents? (Observation and inquiry) | _____ | _____ | _____ | 542.12(c)(4) | |
| 6. | Is the fill request communicated to the cage where the fill slip is prepared? (Observation and inquiry) | _____ | _____ | _____ | 542.12(c)(4) | |
| 7. | Are at least three parts of each fill slip utilized as follows: (Observation and inquiry) | | | | | |
| | One part is transported to the pit with the fill and, after the appropriate signatures are obtained, deposited in table drop box? | _____ | _____ | _____ | 542.12(c)(5)(i) | |

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| 8. | Are at least three parts of each fill slip utilized as follows: (Observation and inquiry) One part is retained in the cage for reconciliation of cashier bank (Cage copy is prohibited from leaving cage until end of shift)? | _____ | _____ | _____ | 542.12(c)(5)(ii) | |
| 9. | Are at least three parts of each fill slip utilized as follows: (Observation and inquiry) For computerized systems, one part retained in a secure manner to insure that only authorized persons may gain access to it and one part retained in a secure manner in a continuous unbroken form for manual systems? | _____ | _____ | _____ | 542.12(c)(5)(ii) | |
| 10. | For Tier C gaming operations is the part of the fill slip that is placed in the drop box of a different color for fills than for credits, unless the type of transaction is clearly distinguishable in another manner? (The checking of a box on the form is not a clearly distinguishable indicator.) (Observation and inquiry) | _____ | _____ | _____ | 542.12(c)(6) | |
| 11. | Is the table number, shift, and amount of fill by denomination and in total noted on all copies of the fill slip? (Examination of records-complete Fill-Credit worksheet) | _____ | _____ | _____ | 542.12(c)(7) | |
| 12. | Is the correct date and time indicated on at least two copies of the fill slip? (Examination of records-complete Fill-Credit worksheet at question 11 above.) | _____ | _____ | _____ | 542.12(c)(7) | |
| 13. | Are all fills carried from the cashier's cage by a person who is independent of the cage or pit? (Observation) | _____ | _____ | _____ | 542.12(c)(8) | |
| 14. | Is the fill slip signed by at least the following individuals (as an indication that each has counted the amount of the fill and the amount agrees with the fill slip): (Examination of records-complete Fill-Credit worksheet at question 11 above) Cashier who prepared the fill slip and issued the chips, tokens, or cash equivalent? | _____ | _____ | _____ | 542.12(c)(9)(i) | |

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| 15. | Is the fill slip signed by at least the following individuals (as an indication that each has counted the amount of the fill and the amount agrees with the fill slip): (Examination of records-complete Fill-Credit worksheet at question 11 above) Runner who carried the chips, tokens, or cash equivalents from the cage to the pit? | _____ | _____ | _____ | 542.12(c)(9)(ii) | |
| 16. | Is the fill slip signed by at least the following individuals (as an indication that each has counted the amount of the fill and the amount agrees with the fill slip): (Examination of records-complete Fill-Credit worksheet at question 11 above) Dealer or boxperson who received the chips, tokens, or cash equivalents at the gaming table? | _____ | _____ | _____ | 542.12(c)(9)(ii) | |
| 17. | Is the fill slip signed by at least the following individuals (as an indication that each has counted the amount of the fill and the amount agrees with the fill slip): (Examination of records-complete Fill-Credit worksheet at question 11 above) Pit supervisory personnel who supervised the fill transaction? | _____ | _____ | _____ | 542.12(c)(9)(iv) | |
| 18. | Are fills broken down and verified by the dealer or boxperson in public view before the dealer or boxperson places the fill in the table tray? (Observation) | _____ | _____ | _____ | 542.12(c)(10) | |
| 19. | Is a copy of the fill slip deposited into the drop box on the table by the dealer, where it shall appear in the soft count room with the cash receipts for the shift? (Observation) | _____ | _____ | _____ | 542.12(c)(11) | |
| 20. | Are table credit transactions authorized by a pit supervisor before the issuance of credit slips and transfer of chips, tokens, or other cash equivalent? (Observation) | _____ | _____ | _____ | 542.12(c)(12) | |
| 21. | Is the credit request communicated to the cage where the credit slip is prepared? (Observation) | _____ | _____ | _____ | 542.12(c)(12) | |

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| 22. | Are at least three parts of each credit slip utilized as follows: (Observation and inquiry) Are two parts of the credit slip transported by the runner to the pit? (Note: Transfer of chips must occur with credit slip) (Observation) | _____ | _____ | _____ | 542.12(c)(13)(i) | |
| 23. | Are at least three parts of each credit slip utilized as follows: (Observation and inquiry) After signatures of the runner, dealer, and pit supervisor are obtained, is one copy deposited in the table game drop box and then does the original credit slip accompany the transport of the chips, tokens, markers, or cash equivalents from the pit to the cage for verification and signature of the cashier? (Observation) | _____ | _____ | _____ | 542.12(c)(13)(i) | |
| 24. | Are at least three parts of each credit slip utilized as follows: (Observation and inquiry) For computerized systems, is one part retained in a secure manner to insure that only authorized persons may gain access to it or for manual systems is one part retained in a secure manner in a continuous unbroken form? (Observation) | _____ | _____ | _____ | 542.12(c)(13)(i) | |
| 25. | Is the table number, shift, and the amount of credit by denomination and in total noted on all copies of the credit slip? (Examination of records-complete Fill-Credit worksheet at question 11 above) | _____ | _____ | _____ | 542.12(c)(14) | |
| 26. | Is the correct date and time indicated on at least two copies of the credit slip? (Examination of records-complete Fill-Credit worksheet at question 11 above) | _____ | _____ | _____ | 542.12(c)(14) | |
| 27. | Are chips, tokens and/or cash equivalents removed from the table tray by the dealer or boxperson and broken down and verified by the dealer or boxperson in public view prior to placing them in racks for transfer to the cage? (Observation) | _____ | _____ | _____ | 542.12(c)(15) | |

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| 28. | Are all chips, tokens, and cash equivalents removed from the tables and markers removed from the pit carried to the cashier's cage by a person who is independent of the cage or pit? (Observation) | ___ | ___ | ___ | 542.12(c)(16) | |
| 29. | Is the credit slip signed by at least the following individuals (as an indication that each has counted or, in the case of markers, reviewed the items transferred): (Examination of records-complete Fill-Credit worksheet at question 11 above) Cashier who received the items transferred from the pit and prepared the credit slip? | ___ | ___ | ___ | 542.12(c)(17)(i) | |
| 30. | Is the credit slip signed by at least the following individuals (as an indication that each has counted or, in the case of markers, reviewed the items transferred): (Examination of records-complete Fill-Credit worksheet at question 11 above) Runner who carried the items transferred from the pit to the cage? | ___ | ___ | ___ | 542.12(c)(17)(i) | |
| 31. | Is the credit slip signed by at least the following individuals (as an indication that each has counted or, in the case of markers, reviewed the items transferred): (Examination of records-complete Fill-Credit worksheet at question 11 above) Dealer who had custody of the items prior to transfer to the cage? | ___ | ___ | ___ | 542.12(c)(17)(ii) | |
| 32. | Is the credit slip signed by at least the following individuals (as an indication that each has counted or, in the case of markers, reviewed the items transferred): (Examination of records-complete Fill-Credit worksheet at question 11 above) Pit supervisory personnel who supervised the credit transaction? | ___ | ___ | ___ | 542.12(c)(17)(v) | |
| 33. | Is the credit slip inserted in the drop box by the dealer? (Observation) | ___ | ___ | ___ | 542.12(c)(18) | |

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| 34. | Are chips, tokens, or other cash equivalents deposited on or removed from gaming tables only when accompanied by the appropriate fill/credit or marker transfer forms? (Observation) | _____ | _____ | _____ | 542.12(c)(19) | |
| 35. | Are cross fills (the transfer of chips between table games) and even cash exchanges prohibited in the pit? (Inquiry) | _____ | _____ | _____ | 542.12(c)(20) | |
| (d) Table inventory forms. | | | | | | |
| 36. | At the close of each shift, for those table banks that were open during the shift: (Inquiry/examination of records) Is each table's chip, token, coin, and marker inventory counted and recorded on a table inventory form? Or (Observation) | _____ | _____ | _____ | 542.12(d)(1)(i) | |
| 37. | At the close of each shift, for those table banks that were open during the shift: (Inquiry/observation) If the table banks are maintained on an imprest basis, is a final fill or credit made to bring the bank back to par? (Observation) | _____ | _____ | _____ | 542.12(d)(1)(ii) | |
| 38. | If final fills are not made, are beginning and ending inventories recorded on the master game sheet for shift win calculation purposes? (Inquiry/examination of records) | _____ | _____ | _____ | 542.12(d)(2) | |
| 39. | Is the accuracy of inventory forms prepared at shift end verified by the outgoing pit supervisor and the dealer or alternatively, if the dealer is not available, such verification may be provided by another pit supervisor or another supervisor from another gaming department? (Observation) | _____ | _____ | _____ | 542.12(d)(3) | |
| 40. | Are the above verifications evidenced by signature on the inventory form? (Review other-complete Table Inventory worksheet) | _____ | _____ | _____ | 542.12(d)(3) | |
| 41. | If inventory forms are placed in the drop box, is such action performed by someone other than a pit supervisor? (Observation) | _____ | _____ | _____ | 542.12(d)(4) | |

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| (e) Table games computer generated documentation standards. | | | | | | |
| 42. | Is the computer system capable of generating adequate documentation of all information recorded on the source documents and transaction detail (e.g., fill/credit slips, markers, etc.)? (Inquiry) | _____ | _____ | _____ | 542.12(e)(1) | |
| 43. | Is this documentation restricted to authorized personnel? (Inquiry) | _____ | _____ | _____ | 542.12(e)(2) | |
| 44. | Does the documentation include, at a minimum: (Review supporting documentation) System exception information (e.g., appropriate system parameter information, corrections, voids, etc.)? | _____ | _____ | _____ | 542.12(e)(3)(i) | |
| 45. | Does the documentation include, at a minimum: (Review supporting documentation) Personnel access listing which includes at a minimum: Employee name or employee identification number (if applicable)? | _____ | _____ | _____ | 542.12(e)(3)(ii)(A) | |
| 46. | Does the documentation include, at a minimum: (Review supporting documentation) Personnel access listing which includes at a minimum: Listing of functions employee can perform or equivalent means of identifying the same? | _____ | _____ | _____ | 542.12(e)(3)(ii)(B) | |
| (f) Standards for playing cards and dice. | | | | | | |
| 47. | Are playing cards and dice maintained in a secure location to prevent unauthorized access and to reduce the possibility of tampering (new playing cards)? (State the location in Comment Section) (Observation and inquiry) | _____ | _____ | _____ | 542.12(f)(1) | |

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| 48. | Are used cards and dice maintained in a secure location until marked, scored, or destroyed in a manner to prevent unauthorized access and reduce the possibility of tampering? (State the location in Comment Section) (Observation and inquiry) | _____ | _____ | _____ | 542.12(f)(2) | |
| 49. | Has the gaming operation received approval for the manner in which used cards are maintained? (Review TGRA approval) | _____ | _____ | _____ | 542.12(f)(2) | |
| 50. | Has the gaming operation established a reasonable time period, which shall not exceed seven (7) days, within which to mark, cancel, or destroy cards and dice from play ? (Note: This standard shall not apply where playing cards or dice are retained for an investigation.) (State the time period in Comment Section) (Review supporting documentation) | _____ | _____ | _____ | 542.12(f)(3) | |
| 51. | Has the gaming operation complied with the established time period within which to mark, cancel or destroy cards and dice from play? (Review supporting documentation) | _____ | _____ | _____ | 542.12(f)(3) | |
| 52. | Has the gaming operation received approval for the established time period? (Review TGRA approval) | _____ | _____ | _____ | 542.12(f)(3) | |
| 53. | Is a card control log maintained that documents when cards and dice are received on site, distributed to and returned from tables and removed from play by the gaming operation? (Review other- perpetual inventory records.) | _____ | _____ | _____ | 542.12(f)(4) | |
| (g) Plastic cards. | | | | | | |
| 54. | If the gaming operation uses plastic cards (not plastic-coated cards), are the cards routinely inspected, washed or cleaned and not used more than three months? (Inquiry and review supporting documentation) | _____ | _____ | _____ | 542.12(g) | |
| 55. | Has the gaming operation received approval for the use of plastic cards? (Review TGRA approval) | _____ | _____ | _____ | 542.12(g) | |

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| (h) Standards for supervision. | | | | | | |
| 56. | Do pit supervisory personnel (with authority equal to or greater than those being supervised) provide supervision of all table games? (Observation and inquiry) | — | — | — | 542.12(h) | |
| (i) Analysis of table game performance standards. | | | | | | |
| 57. | Are records maintained by day and shift indicating any single-deck blackjack games that were dealt for an entire shift? (Inquiry/ review supporting documentation) | — | — | — | 542.12(i)(1) | |
| 58. | Are records reflecting hold percentage by table and type of game maintained by shift, by day, cumulative month-to-date, and cumulative year to date? (Examination of records) | — | — | — | 542.12(i)(2) | |
| 59. | Is this information presented to and reviewed by management independent of the pit department on at least a monthly basis? (Examination of records) | — | — | — | 542.12(i)(3) | |
| 60. | Does the above referenced management, #59, investigate unusual fluctuations in hold percentage with pit supervisory personnel? (Inquiry)(Revised 5/4/05) | — | — | — | 542.12(i)(4) | |
| 61. | Are the results of such investigations documented and maintained for inspection? (Review supporting documentation) | — | — | — | 542.12(i)(5) | |
| 62. | Are the statistical investigations available for TGRA review upon request? (Inquiry) | — | — | — | 542.12(i)(5) | |
| (j) Accounting/auditing standards. | | | | | | |
| 63. | Are the table games accounting and auditing procedures performed by personnel who are independent of the transactions being audited/accounted for? (Inquiry) | — | — | — | 542.12(j)(1) | |

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| 64. | If a table game has the capability to determine drop (e.g., bill-in/coin-drop meters, bill acceptor, computerized record, etc.) is the dollar amount of the drop reconciled to the actual drop by shift? (Inquiry/ examination of records) | ___ | ___ | ___ | 542.12(j)(2) | |
| 65. | Do accounting/auditing employees review exception reports for all computerized table games systems at least monthly for propriety of transactions and unusual occurrences? (Examination of records) | ___ | ___ | ___ | 542.12(j)(3) | |
| 66. | Are all noted improper transactions or unusual occurrences investigated with the results documented? (Review supporting documentation) | ___ | ___ | ___ | 542.12(j)(4) | |
| 67. | Is evidence of table games auditing procedures and any follow-up performed maintained? (Examination of records) | ___ | ___ | ___ | 542.12(j)(5) | |
| 68. | Is the evidence of table games auditing procedures and follow-up available to the TGRA upon request? (Inquiry) | ___ | ___ | ___ | 542.12(j)(5) | |
| 69. | Is a daily recap prepared for the day and month-to-date which includes the following information: (Examination of records) Drop? | ___ | ___ | ___ | 542.12(j)(6)(i) | |
| 70. | Is a daily recap prepared for the day and month-to-date which includes the following information: (Examination of records) Win? | ___ | ___ | ___ | 542.12(j)(6)(ii) | |
| 71. | Is a daily recap prepared for the day and month-to-date which includes the following information: (Examination of records) Gross revenue? | ___ | ___ | ___ | 542.12(j)(6)(iii) | |

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| (k) Marker credit play. | | | | | | |
| 72. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the marker system allow for credit to be both issued and repaid in the pit? (Observation and inquiry) | _____ | _____ | _____ | 542.12(k)(1)(i) | |
| 73. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Prior to the issuance of gaming credit to a player, does the employee extending the credit contact the cashier or other independent source to determine if the player's credit limit has been properly established and there is sufficient remaining credit available for the advance? (Inquiry) | _____ | _____ | _____ | 542.12(k)(1)(ii) | |
| 74. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is proper authorization of credit extension in excess of the previously established limit documented? (Review supporting documentation) | _____ | _____ | _____ | 542.12(k)(1)(ii i) | |
| 75. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is the amount of credit extended communicated to the cage or another independent source and the amount documented within a reasonable time subsequent to each issuance? (Inquiry)(1 hour maximum) | _____ | _____ | _____ | 542.12(k)(1)(i v) | |

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| 76. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is the marker form in at least triplicate form (triplicate form being defined as three parts performing the functions delineated in the questions 77-79 below), with a preprinted or concurrently printed marker number, and utilized in numerical sequence? (Observation) (Note: This requirement does not preclude the distribution of batches of markers to various pits.)(Revised 5/4/05)</p> | _____ | _____ | _____ | 542.12(k)(1)(v) | |
| 77. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply (Observation):</p> <p>Are at least three parts of each separately numbered marker form utilized as follows:</p> <p>Original that is maintained in the pit until settled or transferred to the cage?</p> | _____ | _____ | _____ | 542.12(k)(1)(v) i(A) | |
| 78. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply (Observation):</p> <p>Are at least three parts of each separately numbered marker form utilized as follows:</p> <p>Payment Slip that is maintained in the pit until the marker is settled or transferred to the cage. If paid in the pit, the slip is inserted in the table drop box. If not paid, the slip is transferred to the cage with the original?</p> | _____ | _____ | _____ | 542.12(k)(1)(v) i(B) | |
| 79. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Are at least three parts of each separately numbered marker form utilized as follows: (Observation)</p> <p>Issue Slip that is inserted into the appropriate table drop box when credit is extended or when the player has signed the original?</p> | _____ | _____ | _____ | 542.12(k)(1)(v) i(C) | |

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| 80. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: When marker documentation (e.g., issue slip and payment slip) is inserted in the drop box, is such action performed by the dealer or boxperson at the table? (Observation) | _____ | _____ | _____ | 542.12(k)(1)(v) ii) | |
| 81. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation) The signature or initials of the person(s) approving the extension of credit (unless such information is contained elsewhere for each issuance)? | _____ | _____ | _____ | 542.12(k)(1)(v) iii)(A) | |
| 82. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation) The legible name of the person receiving the credit? | _____ | _____ | _____ | 542.12(k)(1)(v) iii)(B) | |
| 83. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation) The date and shift of granting the credit? | _____ | _____ | _____ | 542.12(k)(1)(v) iii)(C) | |

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| 84. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation)</p> <p>The table on which the credit was extended?</p> | _____ | _____ | _____ | 542.12(k)(1)(viii)(D) | |
| 85. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation)</p> <p>The amount of credit issued?</p> | _____ | _____ | _____ | 542.12(k)(1)(viii)(E) | |
| 86. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation)</p> <p>The marker number?</p> | _____ | _____ | _____ | 542.12(k)(1)(viii)(F) | |
| 87. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation)</p> <p>The amount of credit remaining after each issuance or the total credit available for all issuances?</p> | _____ | _____ | _____ | 542.12(k)(1)(viii)(G) | |

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| 88. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation)</p> <p>The amount of payment received and nature of settlement? (e.g., credit slip number, cash, chips, etc.)</p> | _____ | _____ | _____ | 542.12(k)(1)(viii)(H) | |
| 89. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Is a record maintained that details the following (e.g., master credit record retained at the pit podium.): (Review supporting documentation)</p> <p>The signature or initials of the person receiving payment/settlement?</p> | _____ | _____ | _____ | 542.12(k)(1)(viii)(I) | |
| 90. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Are the forms required in questions 76-79 and 81-89 safeguarded, and are adequate procedures employed to control the distribution, use, and access to these forms? (Inquiry and review supporting documentation)(Revised 5/4/05)</p> | _____ | _____ | _____ | 542.12(k)(1)(ix) | |
| 91. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply:</p> <p>Are all credit extensions initially evidenced by lammer buttons, which are displayed on the table in public view and placed there by supervisory personnel? (Observation and inquiry)</p> | _____ | _____ | _____ | 542.12(k)(1)(x) | |
| 92. | <p>If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the</p> | _____ | _____ | _____ | 542.12(k)(1)(x) | |

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| | following standards apply: | | | | | i) |
| | Is marker preparation initiated and other records updated within approximately one hand of play following the initial issuance of credit to the player? (Observation and inquiry) | | | | | |
| 93. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Are lammer buttons removed only by the dealer or boxperson employed at the table upon completion of a marker transaction? (Observation and inquiry) | _____ | _____ | _____ | 542.12(k)(1)(x ii) | |
| 94. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the original marker contain at least the following information: (Examination of records) Marker number? | _____ | _____ | _____ | 542.12(k)(1)(x iii)(A) | |
| 95. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the original marker contain at least the following information: (Examination of records) Player's name and signature? | _____ | _____ | _____ | 542.12(k)(1)(x iii)(B) | |
| 96. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the original marker contain at least the following information: (Examination of records) Date? | _____ | _____ | _____ | 542.12(k)(1)(x iii)(C) | |
| 97. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: | _____ | _____ | _____ | 542.12(k)(1)(x iii)(D) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|------|--|-------|-------|------------|-------------------|---------|
| | Does the original marker contain at least the following information: (Examination of records) Amount of credit issued? | | | | | |
| 98. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the issue slip or stub include: (Examination of records) The same marker number as the original, the table number, date and time of issuance, and amount of credit issued? | _____ | _____ | _____ | 542.12(k)(1)(xiv) | |
| 99. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the issue slip or stub include: (Examination of records) The signature of the person extending the credit, and the signature or initials of the dealer or boxperson at the applicable table, unless this information is included on another document verifying the issued marker? | _____ | _____ | _____ | 542.12(k)(1)(xiv) | |
| 100. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the payment slip include: (Examination of records) The same marker number as the original? | _____ | _____ | _____ | 542.12(k)(1)(xv) | |
| 101. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the payment slip include: (Examination of records) If the marker is paid in full in the pit, the table number where paid, date and time of payment, nature of settlement (cash, chips, etc.) and amount of payment? | _____ | _____ | _____ | 542.12(k)(1)(xv) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|------|--|-------|-------|------------|---------------------|---------|
| 102. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Does the payment slip include: (Examination of records) The signature of pit supervisory personnel acknowledging payment, and the signature or initials of the dealer or boxperson receiving payment, (unless this information is included on another document verifying the payment of the marker)? | _____ | _____ | _____ | 542.12(k)(1)(xv) | |
| 103. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: When partial payments are made in the pit, is a new marker completed reflecting the remaining balance and the marker number of the marker originally issued? (Examination of records) | _____ | _____ | _____ | 542.12(k)(1)(xvi) | |
| 104. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: When partial payments are made in the pit, is the payment slip of the marker that was originally issued properly cross-referenced to the new marker number, completed with all information required by questions 100-102, and inserted into the drop box? (Examination of records)(Revised 5/4/05) | _____ | _____ | _____ | 542.12(k)(1)(xvii) | |
| 105. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is the cashier's cage or another independent source notified: (Observation and inquiry) When payments (full or partial) are made in the pit so that cage records can be updated for such transactions? | _____ | _____ | _____ | 542.12(k)(1)(xviii) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|------|---|-------|-------|------------|---------------------|---------|
| 106. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is the cashier's cage or another independent source notified: (Observation and inquiry) When the customer's play is completed or at shift end, whichever is earlier? | _____ | _____ | _____ | 542.12(k)(1)(xviii) | |
| 107. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Are all portions of markers, both issued and unissued, safeguarded and are procedures employed to control the distribution, use and access to the forms? (Inquiry and review other- perpetual inventory records) | _____ | _____ | _____ | 542.12(k)(1)(xix) | |
| 108. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Is an investigation performed to determine the cause and responsibility for loss whenever marker forms, or any part thereof, are missing? (Inquiry) | _____ | _____ | _____ | 542.12(k)(1)(xx) | |
| 109. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Are the investigations documented and maintained for inspection? (Inquiry/ review supporting documentation) | _____ | _____ | _____ | 542.12(k)(1)(xx) | |
| 110. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Are the investigations provided to the TGRA upon request? (Inquiry) | _____ | _____ | _____ | 542.12(k)(1)(xx) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
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| 111. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: When markers are transferred to the cage, are marker transfer forms or marker credit slips (or similar documentation) utilized? (Inquiry and review supporting documentation) | _____ | _____ | _____ | 542.12(k)(1)(xi) | |
| 112. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Do the marker transfer forms/ credit slips at a minimum contain the following information? (Examination of records) The date, time and shift? | _____ | _____ | _____ | 542.12(k)(1)(xi) | |
| 113. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Do the marker transfer forms/ credit slips at a minimum contain the following information? (Examination of records) Marker number(s), table number(s) and amount of each marker? | _____ | _____ | _____ | 542.12(k)(1)(xi) | |
| 114. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Do the marker transfer forms/ credit slips at a minimum contain the following information? (Examination of records) The total amount transferred? | _____ | _____ | _____ | 542.12(k)(1)(xi) | |

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|---|--|-------|-------|------------|--------------------|---------|
| 115. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Do the marker transfer forms/ credit slips at a minimum contain the following information? (Examination of records) Signature of pit supervisory personnel releasing instruments from the pit and the signature of cashier verifying receipt of instruments at the cage? | _____ | _____ | _____ | 542.12(k)(1)(xi) | |
| 116. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Are all markers transferred to the cage within twenty-four (24) hours of issuance? (Examination of records) | _____ | _____ | _____ | 542.12(k)(1)(xii) | |
| 117. | If a gaming operation allows marker credit play (exclusive of rim credit and call bets), the following standards apply: Are markers transported to the cashier's cage by a person who is independent of the marker issuance and payment functions (pit clerks may perform this function)? (Observation) | _____ | _____ | _____ | 542.12(k)(1)(xiii) | |
| (I) Name credit instruments accepted in the pit. | | | | | | |
| 118. | If named credit instruments (personal checks, payroll checks, counter checks, hold checks, travelers checks, or other similar instruments) are accepted in the pit, the following standards apply: Does the name credit system allow for the issuance of credit without using markers? (Inquiry) | _____ | _____ | _____ | 542.12(1)(2)(i) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|------|--|-------|-------|------------|-------------------|---------|
| 119. | <p>If named credit instruments (personal checks, payroll checks, counter checks, hold checks, travelers checks, or other similar instruments) are accepted in the pit, the following standards apply:</p> <p style="padding-left: 40px;">Prior to accepting a name credit instrument, does the employee extending the credit contact the cashier or another independent source to determine if the player's credit limit has been properly established and the remaining credit available is sufficient for the advance? (Inquiry)</p> | _____ | _____ | _____ | 542.12(1)(2)(ii) | |
| 120. | <p>If named credit instruments (personal checks, payroll checks, counter checks, hold checks, travelers checks, or other similar instruments) are accepted in the pit, the following standards apply:</p> <p style="padding-left: 40px;">Are all name credit instruments transferred to the cashier's cage (utilizing a two-part order for credit) immediately following the acceptance of the instrument and issuance of chips? (Note: If name credit instruments are transported accompanied by a credit slip, an order for credit is not required) (Examination of records)</p> | _____ | _____ | _____ | 542.12(1)(2)(iii) | |
| 121. | <p>If named credit instruments (personal checks, payroll checks, counter checks, hold checks, travelers checks, or other similar instruments) are accepted in the pit, the following standards apply:</p> <p style="padding-left: 40px;">Does the order for credit (if applicable) and the credit slip include the customer's name, amount of the credit instrument, the date, time, shift, table number, signature of pit supervisor releasing instrument from pit, and the signature of cashier verifying receipt of instrument at the cage? (Examination of records)</p> | _____ | _____ | _____ | 542.12(1)(2)(iv) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|-----------------------|--|-------|-------|------------|------------------|---------|
| 122. | If named credit instruments (personal checks, payroll checks, counter checks, hold checks, travelers checks, or other similar instruments) are accepted in the pit, the following standards apply: Are the procedures for transacting table credits in questions #20-34 above of this section strictly adhered to? (Examination of records and inquiry) | _____ | _____ | _____ | 542.12(1)(2)(v) | |
| 123. | If named credit instruments (personal checks, payroll checks, counter checks, hold checks, travelers checks, or other similar instruments) are accepted in the pit, the following standards apply: Is the acceptance of payments in the pit for name credit instruments prohibited? (Observation and inquiry) | _____ | _____ | _____ | 542.12(1)(2)(vi) | |
| (m) Call bets. | | | | | | |
| 124. | If call bets are accepted in the pit, the following standards apply: Is a call bet evidenced by the placement of a lammer button, chips, or other identifiable designation in an amount equal to that of the wager in a specific location on the table? (Inquiry) | _____ | _____ | _____ | 542.12(m)(1)(i) | |
| 125. | If call bets are accepted in the pit, the following standards apply: Is the placement of the lammer button, chips, or other identifiable designation performed: (Observation/ inquiry) By supervisory/boxperson personnel? Or | _____ | _____ | _____ | 542.12(m)(1)(ii) | |
| 126. | If call bets are accepted in the pit, the following standards apply: Is the placement of the lammer button, chips, or other identifiable designation performed: (Observation/ inquiry) By a dealer, if the supervisor physically observes and gives specific authorization? | _____ | _____ | _____ | 542.12(m)(1)(ii) | |

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| 127. | If call bets are accepted in the pit, the following standards apply: Is the call bet settled at the end of each hand of play by the preparation of a marker, repayment of the credit extended, or the payoff of the winning wager? (Observation/ inquiry) | _____ | _____ | _____ | 542.12(m)(1)(i) ii) | |
| 128. | If call bets are accepted in the pit, the following standards apply: Is a call bet extending beyond one hand of play prohibited? (Inquiry) | _____ | _____ | _____ | 542.12(m)(1)(i) ii) | |
| 129. | If call bets are accepted in the pit, the following standards apply: Is the removal of the lammer button, chips, or other identifiable designation performed by the dealer/boxperson upon completion of the call bet transaction? (Observation/ inquiry) | _____ | _____ | _____ | 542.12(m)(1)(i) v) | |
| (n) Rim credit. | | | | | | |
| 130. | If rim credit is extended in the pit, the following standards apply: Is rim credit evidenced by: (Observation/ inquiry) The issuance of chips to be placed in a neutral zone on the table and then extended to the customer for the customer to wager, or to the dealer to wager for the customer and the placement of a lammer button or other identifiable designation in an amount equal to that of the chips extended? | _____ | _____ | _____ | 542.12(n)(1)(i) | |
| 131. | If rim credit is extended in the pit, the following standards apply: Is rim credit recorded on player cards, or similarly used documents that are: (Examination of records) Pre-numbered or concurrently numbered and accounted for by a department independent of the pit? | _____ | _____ | _____ | 542.12(n)(1)(ii) (A) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|------|--|-------|-------|------------|---------------------|---------|
| 132. | <p>If rim credit is extended in the pit, the following standards apply:</p> <p>Is rim credit recorded on player cards, or similarly used documents that are: (Examination of records)</p> <p>All extensions and subsequent repayments evidenced by the initials or signatures of a supervisor and the dealer attesting to the validity of each credit extension and repayment?</p> | _____ | _____ | _____ | 542.12(n)(1)(ii)(B) | |
| 133. | <p>If rim credit is extended in the pit, the following standards apply:</p> <p>Is rim credit recorded on player cards, or similarly used documents that are: (Examination of records)</p> <p>An indication of the settlement method (e.g., serial number of marker issued, chips, cash)?</p> | _____ | _____ | _____ | 542.12(n)(1)(ii)(C) | |
| 134. | <p>If rim credit is extended in the pit, the following standards apply:</p> <p>Is rim credit recorded on player cards, or similarly used documents that are: (Examination of records)</p> <p>Settled no later than when the customer leaves the table at which the card is prepared?</p> | _____ | _____ | _____ | 542.12(n)(1)(ii)(D) | |
| 135. | <p>If rim credit is extended in the pit, the following standards apply:</p> <p>Is rim credit recorded on player cards, or similarly used documents that are: (Examination of records)</p> <p>Transferred to the accounting department on a daily basis?</p> | _____ | _____ | _____ | 542.12(n)(1)(ii)(E) | |

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| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
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| 136. | If rim credit is extended in the pit, the following standards apply: Is rim credit recorded on player cards, or similarly used documents that are: (Examination of records) Reconciled with other forms utilized to control the issuance of pit credit (e.g., master credit records, table cards)? | _____ | _____ | _____ | 542.12(n)(1)(ii)(F) | |
| (o) Foreign currency. | | | | | | |
| 137. | If foreign currency is accepted in the pit, the following standards apply: Are foreign currency transactions authorized by a pit supervisor/boxperson and does the supervisor/boxperson complete a foreign currency exchange form prior to the exchange for chips or tokens? (Examination of records) | _____ | _____ | _____ | 542.12(o)(1)(i) | |
| 138. | If foreign currency is accepted in the pit, the following standards apply: Do foreign currency exchange forms include the country of origin, total face value, amount of chips/tokens extended (i.e., conversion amount), signature of supervisor/boxperson, and the dealer completing the transaction? (Examination of records) | _____ | _____ | _____ | 542.12(o)(1)(ii) | |
| 139. | If foreign currency is accepted in the pit, the following standards apply: Are foreign currency exchange forms and the foreign currency inserted in the drop box by the dealer? (Observation) | _____ | _____ | _____ | 542.12(o)(1)(ii) | |
| 140. | If foreign currency is accepted in the pit, the following standards apply: Are alternate procedures specific to the use of foreign valued gaming chips developed by the gaming operation? (Inquiry and review supporting documentation) (Procedures should include prohibitions on playing foreign valued chips at other tables and monetary conversion.) | _____ | _____ | _____ | 542.12(o)(1)(iv) | |

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|-----------------------------------|--|-------|-------|------------|--------------------------|---------|
| 141. | Has the gaming operation received approval for the alternate foreign chip procedures? (Review TGRA approval) | _____ | _____ | _____ | 542.12(o)(1)(i v) | |
| (a) Computer applications. | | | | | | |
| 142. | If the gaming operation is utilizing any computer applications with alternative documentation and/or procedures, did the gaming operation receive approval for such procedures? (Review TGRA approval) | _____ | _____ | _____ | 542.12(a) | |