

**NATIONAL INDIAN GAMING COMMISSION
MICS AUDIT CHECKLIST
PARI-MUTUEL (PM)**

| # | MICS QUESTION | YES | NO | W/P REF | MICS | COMMENT |
|------------------------|--|-------|-------|------------|---------|----------------|
| (a) Exemptions. | | | | | | |
| 1. | Whenever the gaming operation houses pari-mutuel wagering operations conducted entirely by a state licensed simulcast service provider pursuant to an approved tribal-state compact: Are the following requirements for exemption from this section met: (Review other-Tribal/ State compact and simulcast agreement/ contract) (YES answers results in questions 6-84 as N/A) | _____ | _____ | _____ | 542.11(| a)(1)(i) |
| | Does the simulcast service provider utilize its own employees for all aspects of the pari-mutuel wagering operation? (Inquiry) | | | | | |
| 2. | Whenever the gaming operation houses pari-mutuel wagering operations conducted entirely by a state licensed simulcast service provider pursuant to an approved tribal-state compact: Are the following requirements for exemption from this section met: (Review other-Tribal/ State compact and simulcast agreement/ contract) (YES answers results in questions 6-84 as N/A) | _____ | _____ | _____ | 542.11(| a)(1)(ii) |
| | Is signage posted in a location visible to the public, that informs the public that the simulcast service provider and its employees are wholly responsible for the conduct of pari-mutuel wagering offered at that location? (Observation) | | | | | |
| 3. | Whenever the gaming operation houses pari-mutuel wagering operations conducted entirely by a state licensed simulcast service provider pursuant to an approved tribal-state compact: Are the following requirements for exemption from this section met: (Review other-Tribal/ State compact and simulcast agreement/ contract) (YES answers results in questions 6-84 as N/A) | _____ | _____ | _____ | 542.11(| a)(1)(ii i) |
| | Does the gaming operation receive a predetermined fee from the simulcast service provider (or race tracks)? (Review supporting documentation) | | | | | |

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| 4. | <p>Whenever the gaming operation houses pari-mutuel wagering operations conducted entirely by a state licensed simulcast service provider pursuant to an approved tribal-state compact: Are the following requirements for exemption from this section met: (Review other-Tribal/ State compact and simulcast agreement/ contract) (YES answers results in questions 6-84 as N/A)</p> <p style="padding-left: 40px;">Has the gaming operation established and do they comply with standards that ensure that the gaming operation receives its contractually guaranteed percentage of the handle from the racetrack (or service provider)? (Examination of records)</p> | _____ | _____ | _____ | 542.11(a)(1)(iv) | |
| 5. | <p>Whenever the gaming operation houses pari-mutuel wagering operations conducted entirely by a state licensed simulcast service provider pursuant to an approved tribal-state compact: Are the following requirements for exemption from this section met: (Review other-Tribal/ State compact and simulcast agreement/ contract) (YES answers results in questions 6-84 as N/A)</p> <p style="padding-left: 40px;">Has the gaming operation received approval for the procedures that ensure contractually guaranteed percentage? (Review TGRA approval)</p> | _____ | _____ | _____ | 542.11(a)(1)(iv) | |
| 6. | <p>Gaming operations that contract directly with a state regulated racetrack as a simulcast service provider, but whose on-site pari-mutuel operations are conducted wholly or in part by tribal gaming operation employees, shall not be required to comply with questions 69-84. (Review other-Tribal/ State compact and simulcast agreement/ contract)</p> <p style="padding-left: 40px;">If any standard contained within this section conflicts with state law, a tribal-state compact, or a contract, does the gaming operation document the basis for non-compliance and maintain the documentation for inspection by the Tribal gaming regulatory authority and the Commission (A conflict is a state law,</p> | _____ | _____ | _____ | 542.11(a)(2)(i) | |

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| | compact or contract requirement that causes non-compliance with a specific MICS)? (Inquiry and review supporting documentation) | | | | | |
| 7. | Gaming operations that contract directly with a state regulated racetrack as a simulcast service provider, but whose on-site pari-mutuel operations are conducted wholly or in part by tribal gaming operation employees, shall not be required to comply with questions 69-84. (Review other-Tribal/ State compact and simulcast agreement/ contract) | _____ | _____ | _____ | 542.11(a)(2)(ii) | |
| | Has the gaming operation established and comply with standards that ensure that the gaming operation receives its contractually guaranteed percentage of the handle from the racetrack (or service provider)? (Examination of records) | | | | | |
| 8. | Gaming operations that contract directly with a state regulated racetrack as a simulcast service provider, but whose on-site pari-mutuel operations are conducted wholly or in part by tribal gaming operation employees, shall not be required to comply with questions 69-84. (Review other-Tribal/ State compact and simulcast agreement/ contract) | _____ | _____ | _____ | 542.11(a)(2)(ii) | |
| | Has the gaming operation received approval for the procedures that ensures the gaming operation receives its contractually guaranteed percentage? (Review TGRA approval) | | | | | |
| (c) Betting ticket and equipment standards. | | | | | | |
| 9. | Are all pari-mutuel wagers transacted through the pari-mutuel satellite system? (Observation and inquiry) | _____ | _____ | _____ | 542.11(c)(1) | |
| 10. | In the case of computer failure between the pari-mutuel book and the hub, are no tickets allowed to be manually written? (Inquiry) | _____ | _____ | _____ | 542.11(c)(1) | |

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| 11. | Whenever a betting station is opened for wagering or turned over to a new writer/cashier, does the writer/cashier sign on and the computer documents the following: (Inquiry and review supporting documentation) Gaming operation name? | — | — | — | 542.11(c)(2) | |
| 12. | Whenever a betting station is opened for wagering or turned over to a new writer/cashier, does the writer/cashier sign on and the computer documents the following: (Inquiry and review supporting documentation) Station number? | — | — | — | 542.11(c)(2) | |
| 13. | Whenever a betting station is opened for wagering or turned over to a new writer/cashier, does the writer/cashier sign on and the computer documents the following: (Inquiry and review supporting documentation) The writer/cashier identifier? | — | — | — | 542.11(c)(2) | |
| 14. | Whenever a betting station is opened for wagering or turned over to a new writer/cashier, does the writer/cashier sign on and the computer documents the following: (Inquiry and review supporting documentation) The date and time? | — | — | — | 542.11(c)(2) | |
| 15. | Does the betting ticket consist of at least the following two parts: (Inquiry and review supporting documentation) An original, which is transacted and issued through a printer and given to the customer? | — | — | — | 542.11(c)(3)(i) | |
| 16. | Does the betting ticket consist of at least the following two parts: (Inquiry and review supporting documentation) A copy, which is recorded concurrently with the generation of the original ticket either on paper or other storage media (e.g. tape or diskette)? | — | — | — | 542.11(c)(3)(ii) | |

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| 17. | Upon accepting a wager, does the betting ticket which is created contain the following; (Inquiry and review supporting documentation) A unique transaction identifier? | — | — | — | 542.11(c)(4)(i) | |
| 18. | Upon accepting a wager, does the betting ticket which is created contain the following; (Inquiry and review supporting documentation) Gaming operation name or identification number and station number? | — | — | — | 542.11(c)(4)(ii) | |
| 19. | Upon accepting a wager, does the betting ticket which is created contain the following; (Inquiry and review supporting documentation) Race track, race number, horse identification or event identification, as applicable? | — | — | — | 542.11(c)(4)(ii) | |
| 20. | Upon accepting a wager, does the betting ticket which is created contain the following; (Inquiry and review supporting documentation) Types of bet(s), each bet amount, total number of bets, and total take? | — | — | — | 542.11(c)(4)(iv) | |
| 21. | Upon accepting a wager, does the betting ticket which is created contain the following; (Inquiry and review supporting documentation) Date and time? | — | — | — | 542.11(c)(4)(v) | |
| 22. | Are all tickets considered final at post time? (Inquiry and review supporting documentation, attempt to place a bet after post time at one track) | — | — | — | 542.11(c)(5) | |
| 23. | If a gaming operation voids a betting tickets written prior to post time, is it immediately entered into the system? (Observation and inquiry) | — | — | — | 542.11(c)(6) | |
| 24. | Are future wagers accepted and processed in the same manner as regular wagers? (Inquiry) | — | — | — | 542.11(c)(7) | |

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| (d) Payout standards. | | | | | | |
| 25. | Prior to making payment on a ticket, does the writer/cashier input the ticket for verification and payment authorization? (Observation and inquiry) | ___ | ___ | ___ | 542.11(d)(1) | |
| 26. | Is the computer incapable of authorizing payment on a ticket which has been: (Inquiry) Previously paid? | ___ | ___ | ___ | 542.11(d)(2) | |
| 27. | Is the computer incapable of authorizing payment on a ticket which has been: (Inquiry) A voided ticket? | ___ | ___ | ___ | 542.11(d)(2) | |
| 28. | Is the computer incapable of authorizing payment on a ticket which has been: (Inquiry) A losing ticket? | ___ | ___ | ___ | 542.11(d)(2) | |
| 29. | Is the computer incapable of authorizing payment on a ticket which has been: (Inquiry) An un-issued ticket? | ___ | ___ | ___ | 542.11(d)(2) | |
| (e) Checkout standards. | | | | | | |
| 30. | Whenever the betting station is closed or the writer/cashier is replaced, does the writer/cashier sign off and the computer documents: (Examination of records) The gaming operation name or identification number? | ___ | ___ | ___ | 542.11(e)(1) | |
| 31. | Whenever the betting station is closed or the writer/cashier is replaced, does the writer/cashier sign off and the computer documents: (Examination of records) The station number? | ___ | ___ | ___ | 542.11(e)(1) | |

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| 32. | Whenever the betting station is closed or the writer/cashier is replaced, does the writer/cashier sign off and the computer documents: (Examination of records) The writer/cashier identifier? | _____ | _____ | _____ | 542.11(e)(1) | |
| 33. | Whenever the betting station is closed or the writer/cashier is replaced, does the writer/cashier sign off and the computer documents: (Examination of records) The date and time? | _____ | _____ | _____ | 542.11(e)(1) | |
| 34. | Whenever the betting station is closed or the writer/cashier is replaced, does the writer/cashier sign off and the computer documents: (Examination of records) The cash balance? | _____ | _____ | _____ | 542.11(e)(1) | |
| 35. | For each writer/cashier station is a summary report completed at the conclusion of each shift including: (Examination of records-complete OTB Summary worksheet) Computation of cash turned in for the shift? | _____ | _____ | _____ | 542.11(e)(2)(i) | |
| 36. | For each writer/cashier station is a summary report completed at the conclusion of each shift including: (Examination of records-complete OTB Summary worksheet at question 35 above) Signatures of two employees who have verified the cash turned in for the shift? | _____ | _____ | _____ | 542.11(e)(2)(ii) | |
| (f) Employee wagering. | | | | | | |
| 37. | Are pari-mutuel employees prohibited from wagering on race/sporting events while on duty, including during break periods? (Inquiry) | _____ | _____ | _____ | 542.11(f) | |
| (g) Computer reports standards. | | | | | | |
| 38. | Is adequate documentation of all pertinent pari-mutuel information generated by the computer system? (Inquiry) | _____ | _____ | _____ | 542.11(g)(1) | |

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| 39. | Is this documentation restricted to authorized personnel? (Inquiry) | ___ | ___ | ___ | 542.11(g)(2) | |
| 40. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Unique transaction identifier? | ___ | ___ | ___ | 542.11(g)(3)(i) | |
| 41. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Date and time of transaction? | ___ | ___ | ___ | 542.11(g)(3)(ii) | |
| 42. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Type of wager? | ___ | ___ | ___ | 542.11(g)(3)(ii i) | |
| 43. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Animal identification or event identification? | ___ | ___ | ___ | 542.11(g)(3)(i v) | |
| 44. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Amount of wagers (by ticket, writer/SAM, track/event and total)? | ___ | ___ | ___ | 542.11(g)(3)(v) | |
| 45. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Amount of payouts (by ticket, writer/SAM, track/event, and total)? | ___ | ___ | ___ | 542.11(g)(3)(v i) | |
| 46. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Tickets refunded (by ticket, writer, track/event and total)? | ___ | ___ | ___ | 542.11(g)(3)(v ii) | |

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| 47. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Unpaid winners/vouchers ("outs") (by ticket/voucher, track/event, and total)? | _____ | _____ | _____ | 542.11(g)(3)(v iii) | |
| 48. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Voucher sales/payments (by ticket, writer/SAM, and track/event)? | _____ | _____ | _____ | 542.11(g)(3)(i x) | |
| 49. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Voids (by ticket, writer, and total)? | _____ | _____ | _____ | 542.11(g)(3)(x) | |
| 50. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Future wagers (by ticket, date of event, total by day and total at the time of revenue recognition)? | _____ | _____ | _____ | 542.11(g)(3)(x i) | |
| 51. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Results (winners and payout data)? | _____ | _____ | _____ | 542.11(g)(3)(x ii) | |
| 52. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Breakage data (by race and track/event)? | _____ | _____ | _____ | 542.11(g)(3)(x iii) | |
| 53. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Commission data (by race and track/event)? | _____ | _____ | _____ | 542.11(g)(3)(x iv) | |

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| 54. | Is the documentation created daily and does it include, at a minimum the following: (Examination of records) Purged data (by ticket and total)? | _____ | _____ | _____ | 542.11(g)(3)(x v) | |
| 55. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A reconciliation report that summarizes totals by track/event and includes the following: Write? | _____ | _____ | _____ | 542.11(g)(4)(i) | |
| 56. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A reconciliation report that summarizes totals by track event and includes the following: The day's winning ticket total? | _____ | _____ | _____ | 542.11(g)(4)(i) | |
| 57. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A reconciliation report that summarizes totals by track event and includes the following: Total commission and breakage due the gaming operation? | _____ | _____ | _____ | 542.11(g)(4)(i) | |
| 58. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A reconciliation report that summarizes totals by track event and includes the following: Net funds transferred to or from the gaming operation's bank account? | _____ | _____ | _____ | 542.11(g)(4)(i) | |

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| 59. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) An exception report that contains a listing of all system functions and overrides not involved in the actual writing or cashing of tickets including the following: Sign-on/offers? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |
| 60. | Does the system generate the following reports (on a daily basis): (Examination of records) An exception report that contains a listing of all system functions and overrides not involved in the actual writing or cashing of tickets including the following: Voids? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |
| 61. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) An exception report that contains a listing of all system functions and overrides not involved in the actual writing or cashing of tickets including the following: Manually input paid tickets? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |
| 62. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A purged ticket report that contains the following: A listing of the unique transaction identifiers? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |
| 63. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A purged ticket report that contains the following: A description? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |

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| 64. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A purged ticket report that contains the following: The ticket cost and value? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |
| 65. | Does the system generate the following reports (on a daily basis): (Examination of records and inquiry) A purged ticket report that contains the following: The date purged? | _____ | _____ | _____ | 542.11(g)(4)(ii) | |
| (h) Accounting and auditing functions. | | | | | | |
| 66. | Is the pari-mutuel audit conducted by personnel independent of the pari-mutuel operation? (Inquiry) | _____ | _____ | _____ | 542.11(h)(1) | |
| 67. | Is documentation maintained evidencing the performance of all pari-mutuel accounting and auditing procedures? (Examination of records) | _____ | _____ | _____ | 542.11(h)(2) | |
| 68. | Does an accounting employee examine the daily reconciliation report, compare it to the revenue summary produced by the system, and recalculate the net amount due to or from the systems operator on a weekly basis? (Examination of records) | _____ | _____ | _____ | 542.11(h)(3) | |
| 69. | Does the accounting employee verify actual cash/cash equivalents turned in to the system's summary report for each cashier's drawer (Beginning balance, (+) fills (draws), (+) net write (sold less voids), (-) payouts (net of IRS withholding), (-) cash backs (paid's), (=) cash turn-in)? (Examination of records) | _____ | _____ | _____ | 542.11(h)(4) | |

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| 70. | Does an accounting employee produce a gross revenue recap report to calculate gross revenue for each day's play and month-to-date basis, including the following totals: (Examination of records) Commission? | _____ | _____ | _____ | 542.11(h)(5)(i) | |
| 71. | Does an accounting employee produce a gross revenue recap report to calculate gross revenue for each day's play and month-to-date basis, including the following totals: (Examination of records) Positive breakage? | _____ | _____ | _____ | 542.11(h)(5)(ii) | |
| 72. | Does an accounting employee produce a gross revenue recap report to calculate gross revenue for each day's play and month-to-date basis, including the following totals: (Examination of records) Negative breakage? | _____ | _____ | _____ | 542.11(h)(5)(ii i) | |
| 73. | Does an accounting employee produce a gross revenue recap report to calculate gross revenue for each day's play and month-to-date basis, including the following totals: (Examination of records) Track/event fees? | _____ | _____ | _____ | 542.11(h)(5)(i v) | |
| 74. | Does an accounting employee produce a gross revenue recap report to calculate gross revenue for each day's play and month-to-date basis, including the following totals: (Examination of records) Track/event fee rebates? | _____ | _____ | _____ | 542.11(h)(5)(v) | |
| 75. | Does an accounting employee produce a gross revenue recap report to calculate gross revenue for each day's play and month-to-date basis, including the following totals: (Examination of records) Purged tickets? | _____ | _____ | _____ | 542.11(h)(5)(v i) | |
| 76. | Are all winning tickets and vouchers removed from the SAM's for each day's play? (Inquiry) | _____ | _____ | _____ | 542.11(h)(6) | |

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| 77. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) Foot the winning tickets and vouchers deposited and trace to the totals of SAM activity produced by the system? | _____ | _____ | _____ | 542.11(h)(7)(i) | |
| 78. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) Foot the listing of cashed vouchers and trace to the totals produced by the system? | _____ | _____ | _____ | 542.11(h)(7)(ii) | |
| 79. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) Review all exceptions for propriety of transactions and unusual occurrences? | _____ | _____ | _____ | 542.11(h)(7)(ii) | |
| 80. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) Review all voids for propriety? | _____ | _____ | _____ | 542.11(h)(7)(iv) | |
| 81. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) Verify the results as produced by the system to the results provided by an independent source (identify independent source)? | _____ | _____ | _____ | 542.11(h)(7)(v) | |
| 82. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) Regrade 1% of paid (cashed) tickets to ensure accuracy and propriety? | _____ | _____ | _____ | 542.11(h)(7)(vi) | |

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| 83. | In the event that a SAM does not balance for a day's play, does the auditor perform the following procedures: (Inquiry and review supporting documentation) When applicable, reconcile the daily totals of future tickets written to the totals produced by the system for both unearned and earned take, and review the reports to ascertain that future wagers are properly included on the day of the event? | _____ | _____ | _____ | 542.11(h)(7)(vii) | |
| 84. | At least annually does the auditor foot the wagers for one day and trace to the total produced by the system? (Review supporting documentation) | _____ | _____ | _____ | 542.11(h)(8) | |
| 85. | At least one day per quarter, does the auditor recalculate and verify the change in the unpaid winners to the total purged tickets? (Review supporting documentation) | _____ | _____ | _____ | 542.11(h)(9) | |
| (b) Computer applications. | | | | | | |
| 86. | 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) | _____ | _____ | _____ | 542.11(b) | |