

MISSOURI GAMING COMMISSION
MINIMUM INTERNAL CONTROL STANDARDS
CHAPTER R – FORMS

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§ 2 General

- 2.01 The forms index is not an all-inclusive list of forms to be used by the Class B Licensee. The Internal Control System shall include a copy of each form discussed in the Class B Licensee's Internal Control System and each form shall be listed in a forms index.
- 2.02 The Class B Licensee shall use the forms approved in Chapter R of the Internal Control System.
- 2.03 All information shall be recorded in ink or other permanent form. Monetary corrections to a figure originally recorded may only be made in ink by crossing out the error, entering the correct figure, and obtaining the initials of the employee making the change and the initials of the employee's supervisor. Non-monetary corrections shall be initialed by the employee making the correction.
- 2.04 All forms shall include the Class B Licensee's name and title of the form.
- 2.05 Any forms that are not pre-numbered shall be maintained and controlled by the applicable department manager.
- 2.06 When a multi-part form is required, ensure that each part is distinguishable.

§ 3 Signatures

- 3.01 All signatures shall include the employee's first initial, last name, and the last six digits of the MGC license number which shall be legible.

§ 4 Control of Forms

- 4.01 Accounting shall be responsible for the receipt, control, and issuance of pre-numbered forms until the applicable operating department receives custody.

§ 5 Numbering

- 5.01 All manual control forms shall be pre-numbered by the manufacturer.
- 5.02 All computerized forms shall be sequentially numbered by the computer system.

§ 6 Voiding Forms

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6.01 In the event a form has to be voided, the original and all copies shall be marked “void” and accompanied by the signature of the employee voiding the form and an employee verifying the void, with a brief explanation of why it was voided. If a void is required because a sequentially numbered form failed to print, this information, along with the form control number, date, and time, shall be recorded on a supplemental document and retained.

§ 7 Forms Description

7.01 The following represents the forms required by the MICS and the minimum standard information required for each form.

- (A) Cards/Dice Inventory Ledgers
 - 1) date of receipt, count, or issuance;
 - 2) quantity of each style/color of cards and dice received/issued;
 - 3) balance of inventory on hand; and
 - 4) required signatures.
- (B) Cards and Dice Pick-up and Cancellation/Destruction Log
 - 1) date;
 - 2) date and time of cancellation or destruction;
 - 3) quantity of cards-decks and dice picked-up, repackaged, canceled, and/or destroyed; and
 - 4) required signatures.
- (C) Card and Dice Pit Storage Log
 - 1) date;
 - 2) quantity and description of all cards and dice placed in the compartment;
 - 3) quantity and description of all cards and dice removed from the compartment;
 - 4) current number of each design and color combination of cards and dice; and
 - 5) log entry documenting the daily verification of the current inventory.
- (D) Cashier/Bank Count Sheet
 - 1) date and time;
 - 2) location of bank;
 - 3) amount of each type and denomination of funds, including paperwork comprising the total bank;
 - 4) actual count total (closing inventory);
 - 5) accountability total;
 - 6) amount of overages or shortages; and
 - 7) required signatures.

Comment [TH1]: Log is also in Chapter D 11.07

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- (E) Casino/Cage Multiple Transaction Log
- 1) Location - Casino cage/bank where cash transaction(s) occurred.
 - 2) Date - Date of the multiple transaction log. The log will cover the entire gaming day.
 - 3) Patron Name - Patron's full name if known or provided by the patron. If patron refuses to provide his/her name, include additional description to help identify person.
 - 4) Patron Description - If patron's name is unknown, complete description of the patron, including sex, nationality, weight, height, hair color, and any other distinguishing features.
 - 5) Amount - Total cash transaction amount.
 - 6) Transaction Type - Transaction types for casino cages are as follows:
 - a) Cash Out - Cashing personal checks, travelers checks, credit card advance checks, etc.;
 - b) Chip Redemption - Redeeming gaming chips for cash. Include gaming location in comments column;
 - c) Deposit In - Safekeeping deposit;
 - d) Deposit Out - Withdrawing a safekeeping deposit; and
 - e) Other - Any other cash transaction payment of EGD jackpots, and exchanges of currency for currency.
 - 7) Time - Time of the transaction including AM/PM.
 - 8) Employee's Signature and MGC License Number - Employee logging the transaction must sign the appropriate log entry and include their MGC license number.
 - 9) Comments - Additional information useful in identifying the patron or explaining the transaction.
 - 10) Supervisor's Signature - At the end of each shift the supervisor must sign the log. Signature acknowledges the following items:
 - a) the supervisor has reviewed the log and to the best of his/her knowledge, all cash transactions of \$500 or more in excess of \$3,000 have been properly recorded; and
 - b) Currency Transaction Reports have been properly completed for all single cash transactions and series of multiple cash transactions in excess of \$10,000.
 - 11) Page ____ of ____ - Page number and total pages of the log for the gaming day.
- (F) Chip Inventory Ledger
- 1) date of receipt, issuance and destruction;
 - 2) number of each denomination of chips received, issued, or destroyed;
 - 3) dollar amount of each denomination of value chips received, issued, or destroyed;

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- 4) number and description of non-value chips received, issued, or destroyed;
- 5) required signatures; and
- 6) identification of primary chips held in reserve with the word “reserve.”
- (G) Safekeeping Deposit/Withdrawal
 - 1) preprinted number on all copies;
 - 2) patron’s name and signature;
 - 3) date of deposit/withdrawals;
 - 4) amount of deposit/withdrawals (alpha and numeric);
 - 5) type of deposit/withdrawal;
 - 6) reason for deposit/withdrawal; and
 - 7) required signatures.
- (H) Daily Passenger Report
 - 1) date;
 - 2) cruise times;
 - 3) passenger count for each cruise:
 - a) paid passengers;
 - b) comped passengers;
 - c) number of passengers staying over as complimentary;
 - d) count of tickets; and
 - e) turnstile readings.
 - 4) total passengers;
 - 5) tax per passenger;
 - 6) total admission tax for the day; and
 - 7) required signatures.
- (I) Duplicate Key Inventory Log
 - 1) date and time;
 - 2) key name, which shall be identical to the key name on the sensitive key access list;
 - 3) key number;
 - 4) number of keys in beginning inventory;
 - 5) number of keys added or removed;
 - 6) number of keys in ending inventory;
 - 7) reason for adding or removing keys; ~~and~~
 - 8) required signatures of the two individuals accessing the box; ~~and-~~
 - 9) Signature of employee receiving the key.
- (J) Tips and Gratuity Deposit
 - 1) date;
 - 2) amount of chips/~~tokens~~ by denomination;
 - 3) total amount of all denominations; and
 - 4) required signatures.
- (K) Temporary Bank Voucher

Comment [s2]: Log in Chapter B
Section 4.04

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- 1) date and time;
 - 2) location of bank;
 - 3) amount of funds issued;
 - 4) signature of main bank cashier issuing the funds;
 - 5) signature of individual receiving funds;
 - 6) signature of individual returning funds;
 - 7) signature of main bank cashier receiving returned funds.
- (L) Duplication of CPSM Log
- 1) date;
 - 2) manufacturer;
 - 3) program number;
 - 4) personnel involved; and
 - 5) disposition of any permanently removed CPSM.
- (M) EGD Drop Compartment Sweeps Log
- 1) EGD number and location;
 - 2) date and time;
 - 3) signature of employee performing the sweep; and
 - 4) supervisor's signature.
- (N) EGD Drop/Win Report
- 1) gaming date;
 - 2) amount weighed by denomination and totaled;
 - 3) amount wrapped by denomination and totaled;
 - 4) difference by denomination (dollar value);
 - 5) difference by denomination (percentage variance);
 - 6) total jackpot payouts;
 - 7) total hopper fills;
 - 8) total foreign tokens;
 - 9) total drop by denomination;
 - 10) total drop all denominations;
 - 11) net win (loss) by denomination and total; and
 - 12) required signatures.
- (O) EGD Entry Access Log (MEAL Book)
- 1) EGD number and location;
 - 2) date and time;
 - 3) reason for entry; and
 - 4) required signatures.
- (P) EGD Hand-Paid Jackpot Form
- 1) date and time;
 - 2) EGD number, location and denomination;
 - 3) amount of jackpot, both alpha and numeric (Alpha is optional if another unalterable method is used for evidencing the amount of the jackpot.);

Comment [TH3]: Log is also in Chapter E 9.03

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- 4) number of credits played;
 - 5) game theme and outcome (e.g., reel symbols, card values and suits, scatter pay, etc.);
 - 6) signature of cashier;
 - 7) signature of winning guest (only required when a manual procedure or override must be used);
 - 8) signature of the employee paying the jackpot;
 - 9) signature of the employee verifying and witnessing the payout; and
 - 10) preprinted or computer generated sequential number.
- (Q) EGD Hopper Fill Slip
- 1) date and time;
 - 2) EGD number, location and denomination;
 - 3) amount of hopper fill (numeric only is authorized if produced by an automated system); and
 - 4) required signatures.
- (R) EGD Sweeps Log
- 1) EGD number and location;
 - 2) date and time;
 - 3) signature of employee performing the sweep; and
 - 4) supervisor's signature.
- (S) Even Exchange Slip
- 1) date, time and locations (to and from);
 - 2) amounts to be exchanged by type;
 - 3) amounts to be changed for;
 - 4) required signatures; and
 - 5) total exchanged.
- (T) Cage/Bank Variance Slip
- 1) date and time;
 - 2) location of bank;
 - 3) amount of overage or shortage; and
 - 4) required signatures. _____
- (U) Ingress/Egress Logs (Count ~~Surveillance~~ -Rooms and Cages)
- 1) date;
 - 2) printed name;
 - 3) time in and out;
 - 4) reason for entry; and
 - 5) required signatures.
- (V) Main Bank/Vault Accountability
- 1) date and shift;
 - 2) opening balance;
 - 3) amount of each type of accountability transactions;

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- 4) detail of the total main bank/vault inventory (currency, coin, ~~tokens,~~ chips, safekeeping deposits, unclaimed property account and etc.);
 - 5) total main bank/vault inventory;
 - 6) overages and shortages;
 - 7) closing balance; and
 - 8) required signatures.
- (W) Master Gaming Report
- 1) gaming date;
 - 2) game and table number;
 - 3) table opener;
 - 4) total fill slips;
 - 5) total credit slips;
 - 6) table closer;
 - 7) total drop per table;
 - 8) overall totals by game;
 - 9) total win/loss; and
 - 10) required signatures.
- (X) Passenger Count Form
- 1) date;
 - 2) cruise times;
 - 3) beginning and ending entrance meter readings;
 - 4) beginning and ending exit meter readings;
 - 5) time the meter readings were taken;
 - 6) back to back passenger count;
 - 7) total passenger count from meter readings;
 - 8) total ticket count; and
 - 9) required signatures.
- (Y) RAM Clearing Slip
- 1) date and time;
 - 2) EGD number, location and ~~tokens-credits~~ played;
 - 3) current reel positions/video display;
 - 4) previous two reel positions/video display;
 - 5) actual meter readings of the internal meters (~~hard and~~ soft);
 - 6) progressive jackpot display, if linked;
 - 7) reason for RAM clear; and
 - 8) required signatures.
- (Z) Returned Check Log
- 1) name and address of the person who presented the check;
 - 2) date of the check;
 - 3) amount of the check;
 - 4) check number;

Comment [s4]: Log also in Chapter H Standard 11.02

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- 5) date the licensee received notification from a financial institution that the check was not accepted;
 - 6) date of entry on the returned check log; and
 - 7) date(s) and amount(s) of any payments received on the check after being returned by a financial institution.
- (AA) Sensitive Key Log
- 1) date
 - 2) key number or ring number;
 - 3) individual/automated key box issuing key;
 - 4) individual receiving key;
 - 5) time key signed out;
 - 6) time key signed in;
 - 7) individual returning key; and
 - 8) individual/automated key box receiving returned key.
- (BB) Signature Card
- 1) hire date;
 - 2) employee name;
 - 3) MGC license number;
 - 4) exemplar initials; and
 - 5) exemplar signature (minimum of first initial, and last name).
- (CC) Surveillance Incident Report
- 1) date and incident report number;
 - 2) time and location of incident;
 - 3) names and addresses of witnesses and subjects involved in the incident, if known;
 - 4) detail narrative of incident;
 - 5) identification of video tape covering the incident;
 - 6) final disposition of the incident; and
 - 7) required signatures.
- (DD) Surveillance Shift Log
- 1) date;
 - 2) beginning time and ending time, name, location, etc. of important or unusual observations;
 - 3) items such as, but not limited to, equipment malfunctions related to other logged events or activities, completed tapes, still photograph requests, etc.; and
 - 4) required signatures.
- (EE) Surveillance ~~Tape~~ Release Log
- 1) tape number, if applicable;
 - 2) location recorded;
 - 23) date and time period of recording(s);

Comment [s5]: Log also in Chapter B Standard 4.01

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- ~~4)~~ date and time of release;
- ~~35)~~ receiving department/agency;
- ~~46)~~ whether the tape is a duplicate or original, if applicable;
- ~~57)~~ name of individual authorizing the release~~authorized by~~;
- ~~68)~~ issued printed name and signature of individual receiving the recording~~by and to; and; and~~
- ~~89)~~ signature of individual releasing the recording.
- ~~7)~~ required signatures.
- (FF) Surveillance Recording Tape Retention Log
 - 1) date and time of log entry;
 - 2) date and time period of recording;
 - 3) tape number, if applicable;
 - 4) location recorded;
 - ~~35)~~ description, of the activity recorded, ~~recording mode, etc.~~; and
 - ~~46)~~ reason for retention; and
 - ~~7)~~ required signatures of surveillance agent.
- (GG) Table Credit Slip
 - 1) date, pit, game/table number and time;
 - 2) amount of each denomination of chips to be credited;
 - 3) total amount of all denomination to be credited; and
 - 4) required signatures.
- (HH) Table Fill Slip
 - 1) date, pit, game/table number and time;
 - 2) amount of each denomination of chips to be distributed;
 - 3) total amount of all denomination to be distributed; and
 - 4) required signatures.
- (II) Table Inventory Slip
 - 1) date and shift;
 - 2) game and table number;
 - 3) total value of each denomination of chips remaining at the table;
 - 4) total value of all denominations;
 - 5) signature of dealer closing the table;
 - 6) signature of table games supervisor closing the table;
 - 7) signature of dealer opening the table; and
 - 8) signature of table games supervisor opening the table.
- (JJ) Table Soft Count Slip/Currency Counter Machine Tape
 - 1) date;
 - 2) table game and number;
 - 3) box contents by denomination;
 - 4) total of all denominations; and
 - 5) required signatures.

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- (KK) Token Inventory Ledger
- 1) date of receipt, count, issuance and destruction;
 - 2) total number by denomination and dollar value received, issued or destroyed;
 - 3) total of all denomination received, issued, or destroyed; and
 - 4) required signatures.
- (LL) Weigh Scale Calibration Module Access Log
- 1) date and time;
 - 2) reason for access; and
 - 3) required signatures.
- (MM) Weigh Scale Tape
- 1) date and time;
 - 2) EGD number and denomination;
 - 3) weigh value per bucket;
 - 4) total by denomination;
 - 5) total all denominations; and
 - 6) required signatures.
- (NN) Audit Exception Report
- 1) date of exception report;
 - 2) date of incident;
 - 3) individual(s) involved in the exception;
 - 4) brief explanation of the exception;
 - 5) signature of the employee preparing the report;
 - 6) department the exception report was issued to;
 - 7) supervisor signature from department receiving the exception;
 - 8) signature of employee responsible for the exception, if known; and
 - 9) date the report was returned to Accounting.
- (OO) Security Incident Report
- 1) Incident report number;
 - 2) date and time;
 - 3) location of incident;
 - 4) date and time of incident;
 - 5) type of incident;
 - 6) names and addresses of witnesses and subjects involved in the incident, if known;
 - 7) detail narrative of incident;
 - 8) identification of video tape covering the incident, if applicable; and
 - 9) ~~required~~ security officer's signatures.
- (PP) Security Incident Log
- 1) date of daily log;
 - 2) time of incident;

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- 3) incident report number;
 - 4) name of reporting security officer and MGC license number;
 - 5) summary of incident.
- (QQ) Visitor/Vendor Log
- 1) date;
 - 2) visitor's/vendor's printed name;
 - 3) company, if applicable;
 - 4) time in and out;
 - 5) type of badge and badge number;
 - 6) ~~reason for entry~~ purpose of visit; and
 - 7) ~~required signatures~~ visitor's/vendor's signature; and
 - 8) security officer's signature.
- (RR) Key Access List
- 1) key ring number, if applicable;
 - 2) key identifier/stamp on the key (must be unique for each key name);
 - 3) name of the key;
 - 4) location of the key;
 - 5) custodian of the key;
 - 6) quantity of the key(s); and
 - 7) job titles authorized to sign out the key and, if applicable, escort requirements and specific limitations.
- (SS) Table Games Variance Slip
- 1) gaming date;
 - 2) game/table number;
 - 3) shift;
 - 4) description of discrepancy found; and
 - 5) required signatures.
- (TT) Inventory Log of Pre-Numbered Forms
- 1) name of pre-numbered form;
 - 2) date received or issued;
 - ~~3) quantity received or issued;~~
 - 4) number sequence of forms received or issued;
 - 5) name of department that forms were issued to; and
 - 6) required signatures and MGC license numbers.
- (UU) Gift Log
- 1) name of the gift recipient;
 - 2) gift donor;
 - 3) description and value of the gift; and
 - 4) date the gift was received.
- (VV) Safekeeping Log
- 1) date of deposit or withdrawal;

Comment [TH6]: Form is also in Chapter B 3.01

Comment [b7]:

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005, added Card & Dice Pit Storage Log & revised 2.01. Revised Oct. 30, 2007. Revised April 30, 2009 (changed Class A to B, revised sections 1, 2.02, 6 (deleted manual form dispensers), 7.01 and 8.01).

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- 2) name of patron;
 - 3) dollar amount of deposit or withdrawal;
 - 4) type of deposit/withdrawal; and
 - 5) total balance of all deposits.
- (WW) Card/Dice Discrepancy Report
- 1) date and time;
 - 2) location;
 - 3) description of discrepancy found; and
 - 4) required signatures.
- (XX) Remote Access Log
~~access start date and time;~~
~~access end date and time;~~
~~reason; and~~
person making access.
- 1) name and MGC number of the licensee’s employee authorizing access;
 - 2) name and MGC number of vendor employee accessing the system;
 - 3) name of user account that vendor used;
 - 4) name of vendor;
 - 5) name of system(s) accessed by the vendor;
 - 6) description of all work performed;
 - 7) date and time; and
 - 8) duration of access.
- (YY) Personnel Access List
- 1) Employee name;
 - 2) MGC license number; and
 - 3) All authorized functions the employee may perform or equivalent means of identifying same.
- (ZZ) Redemption Log
- 1) date;
 - 2) dollar value of each item received by mail;
 - 3) check number;
 - 4) patron’s name and address; and
 - 5) signature of employee performing the transaction.
- (AAA) Currency Cassette Log
- 1) Date;
 - 2) Time;
 - 3) The tamper resistant seal number;
 - 4) The unique cassette number;
 - 5) Amount of cash in the cassette;
 - 6) Denomination of currency in the cassette; and
 - 7) Signature of the main bank cashier who prepared the cassette;

Comment [TH8]: Form is mentioned in Chapter E 1.13

Comment [TH9]: Log requirement in Chapter H Section 6.04

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(BBB) Table Games Jackpot Slip

- 1) Date;
- 2) Time;
- 3) Amount of winnings (alpha and numeric);
- 4) Table game number;
- 5) Type of jackpot;
- 6) Player's name;
- 7) Signature of cashier;
- 8) Signature of the Dealer;
- 9) Signature of the Table Games Supervisor; and
- 10) Signature of the Security Officer escorting the funds.

(CCC) Meter Reading Comparison Report

- 1) Date of report;
- 2) Asset number;
- 3) Dates the readings were taken;
- ~~4)~~ Beginning and ending credits played (soft and accounting system meters);
- ~~45)~~ Beginning and ending credits paid (soft and accounting system meters);
- ~~56)~~ Beginning and ending amount-to-drop (soft and accounting system meters) if applicable;
- ~~67)~~ Beginning and ending jackpots paid (soft and accounting system meters);
- ~~78)~~ Difference between the beginning and ending amount for all meters;
- ~~89)~~ Variance between the meters, if any; and
- ~~910)~~ Accounting Signature.

(DDD) Duplicate Sensitive Key Access List

- 1) name of key, which shall be identical to the key name on the sensitive key access list;
- 2) key number;
- 3) key identifier/stamp on the key (must be unique for each key name); and
- 4) the job titles authorized to sign out the key and, if applicable, escort requirements.

(EEE) Card Inspection Log (including Poker) 11 CSR 45-5.184 and 11 CSR 45-5.185

- 1) date and time;
- 2) detailed inspection procedures performed;
- 3) list of tables from which the cards were removed;
- 4) results of the inspection; and
- 5) signature(s) of the individual(s) completing the inspection.

Note: Sections 313.800 through 313.850, RSMo, et seq., and Title 11, Division 45 of the Code of State Regulations establish standards to which Class B licensees must comply. Class B licensees should review these statutes and rules to ensure their ICS includes compliance with the requirements set forth. Revised January 30, 2004. Revised October 30, 2005, added Card & Dice Pit Storage Log & revised 2.01. Revised Oct. 30, 2007. Revised April 30, 2009 (changed Class A to B, revised sections 1, 2.02, 6 (deleted manual form dispensers), 7.01 and 8.01).