



EASTERN SHAWNEE TRIBAL GAMING COMMISSION

12751 S 705 RD
Wyandotte, OK 74370
918.666.5151 office 918.666.7304 fax

NOTICE AND ORDER

All gaming machine and media vendors transacting business with gaming facilities regulated by the Eastern Shawnee Tribal Gaming Commission (ESTGC) are hereby given notice of the following mandatory procedures contained within this Order controlling the shipment, delivery, and installation of gaming machines, **gaming system components**, and media. Failure to comply with the following procedures will result in the initiation of enforcement action proceedings by the ESTGC.

Procedures for the Shipment and Installation of Gaming Machines, **Gaming System Components, and Media**

- (a) *Pre-Shipment Requirements*. Prior to the scheduled date of shipment and/or download/installation a Vendor must be in compliance with all of the following requirements:
- (1) *Licensure of Gaming Vendor*. The gaming vendor responsible for the shipment or **download/installation** must be duly licensed and in good standing by and with the ESTGC prior to the placement or installation of any gaming equipment on the gaming floor.
 - (2) *Gaming Machines*.
 - i. *Licensure of Gaming Machines*. The licensure of Class II or III gaming machines to be shipped must be verified and approved by the ESTGC. (See Attachment B).
 - ii. At least ten (10) calendar days prior to the scheduled date of shipment, the Vendor shall provide to the ESTGC on the *Eastern Shawnee Tribal Gaming Commission Notification Form* the serial number(s) of the gaming machines, and seal number of the vehicle transporting the gaming machine. (See Attachment A)

(3) Gaming System Components.

- i. All Gaming System Components is including but not limited to: software packages, hardware, servers, player interface systems, & kiosks.
- ii. At least ten (10) calendar days prior to the scheduled date of shipment, the Vendor shall provide to the ESTGC on the *Eastern Shawnee Tribal Gaming Commission Notification Form* the serial number(s) of the server, player interface, kiosk, and seal number of the vehicle transporting the gaming system component. (See Attachment A)
- iii. Gaming system components must remain uninstalled on any board/ hard drive when shipped to the ESTGC.

(4) Gaming Media.

- i. At least ten (10) calendar days prior to the scheduled activity, the Vendor shall provide notice of the scheduled shipment to the ESTGC on the *Eastern Shawnee Tribal Gaming Commission Pre-Shipment Notification Form*. (See Attachment C)
- ii. Gaming media must remain uninstalled on any board/ hard drive when shipped to the ESTGC.

(5) Downloadable Games.

- i. At least ten (10) calendar days prior to the scheduled date of download/installation, the Vendor shall provide notice of the scheduled download/installation to the ESTGC on the *Eastern Shawnee Tribal Gaming Commission Pre-Shipment Notification Form*. (See Attachment C)
- ii. If the download is done remotely, then the download must comply with the *Casino Remote Access Policy*.

(6) Pre-Installation Requirements. Prior to the scheduled date of installation, a Vendor must be in compliance with all of the following requirements:

- a. *Licensure of Technicians.* All agents and/or employees of a gaming vendor that will assist in the installation (whether on-

site or remotely) of gaming machines, and/or all system components, and media must be licensed by the ESTGC.

- i. At least ten (10) calendar days prior to the scheduled date of installation/removal, the Vendor shall submit a written list of all employees or agents of the Vendor that are scheduled to assist in the installation/removal of gaming machines and gaming system components.
- ii. No installation/removal of gaming machines, gaming system components, or media shall be permitted prior to the ESTGC's issuance of a confirmation notice approving the license status of employees or agents of the Vendor that are scheduled to assist in the installation.
- iii. All Vendor Technicians accessing gaming machines will be required to fill out the Machine Entry Authorization Log card (M.E.A.L.) provided in all gaming machines at each of the Eastern Shawnee Tribe gaming facilities. The following information will need to be logged:
 - a. Name, badge number, & company (one vendor could represent more than one manufacturer)
 - b. Date and time
 - c. Description (reason for entry)

b. *Gaming Machines.*

- i. *Gaming Machine Delivery.* The seal on the vehicle transporting gaming machines must match the seal number given on the *Eastern Shawnee Tribal Gaming Commission Notification Form*, and shall only be broken by a member of the ESTGC Compliance Department.
- ii. *Gaming Machine Removal.* For machine removals, the Vendor shall provide the seal number and seal for the vehicle that will be transporting the gaming machines.

c. *Gaming System Components.*

- i. *Gaming System Component Delivery.* The seal on the vehicle transporting gaming system component(s)

must match the seal number given on the *Eastern Shawnee Tribal Gaming Commission Notification Form*, and shall only be broken by a member of the ESTGC Compliance Department.

ii. *Gaming System Components Removal*. For gaming system component(s) removals, the Vendor shall provide the seal number and seal for the vehicle that will be transporting the gaming system component(s).

d. *Gaming Media*.

- i. Gaming media must be tested, verified, and approved by the ESTGC prior to its installation. It is the Vendor's responsibility to confirm in advance that the ESTGC possesses the appropriate testing tools and adaptors to perform these functions to prevent a delay or suspension of the installation.
- ii. At least ten (10) calendar days prior to the scheduled date of installation, the Vendor shall submit to the ESTGC all EPROM, SIMM card, Thumb drives, SSD Cards, CD/DVD, Flash/CF Cards, software, or other equivalent media along with the following documentation:
 1. Par Sheets;
 2. Certification from an approved independent testing lab in either print, or on a CD or DVD, which shall include the following information: media type, identifying numbers on each piece of media, device family, device size, and the expected Test Signature results and pay tables.
- iii. Following the installation of the media, the ESTGC shall place a tamper-resistant seal on the logic box containing the software. This seal shall not be broken except by a member of the ESTGC Compliance Department.

- (7) *Restrictions.* Laptops or other electronic devices shall not be permitted on the gaming floor and may not be used by technicians while accessing gaming machines unless approved by the ESTGC in advance.
- (8) *Waiver Requests.* Any deviations from these requirements will need to be submitted by the Vendor Compliance department (on letterhead) to the ESTGC with a full description of the deviation requested. All waiver requests are reviewed and will be approved or denied on a case by case basis.
- (9) *No Solicitation.* During the term of the Contract/Agreement and for [NON-SOLICITATION PERIOD] after any termination of the Contract/Agreement, The vendor will not, without the prior written consent of the gaming operation, either directly or indirectly, (on vendor's own behalf or in the service of or on behalf of others), solicit or attempt to solicit, divert or hire away any person employed by the gaming operation.

So Ordered,


Brett Barnes, Commissioner

**EASTERN SHAWNEE TRIBAL
GAMING COMMISSION**

**Mailing Address: 12751 South 705 Road Wyandotte, OK 74370
Phone: 918-666-5151 Fax: 918-666-7304**



GAMING DEVICE/MEDIA

**SHIPMENT, DELIVERY, INSTALLATION
AND REMOVAL REQUIREMENTS**

REVISED October 30, 2013

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Gaming Device Shipping Requirements

Purpose

The purpose of this document is to define the policies and procedures for shipping, delivery, installation and removal of Gaming Devices within the jurisdiction of the Eastern Shawnee Tribe of Oklahoma as regulated by the Eastern Shawnee Tribal Gaming Commission (“ESTGC”).

These requirements do not apply to internal movements within the casino, unless the software is accessed. It does apply to movement of gaming machines or software from one Eastern Shawnee Tribal Casino to another or shipments from or to vendors or manufacturers.

Gaming Devices/System Components

Gaming Devices/System Components shall include but not limited to the following:

- ◆ EPROM, SIMM Card, Thumb Drive, SSD, CD/DVD, Flash/CF Card, or Equivalent Software Media
- ◆ Shufflers
- ◆ Kiosks
- ◆ Automatic Jackpot Machines
- ◆ Gaming Machines
- ◆ Gaming Servers including downloadable games
- ◆ Back of House systems/Player Tracking systems

Vendor Licensing

The Gaming Device vendor must ensure all ESTGC licensing requirements have been met prior to shipping any device, hardware, software or media.

Licensing information can be obtained by contacting:

Vendor Licensing Agent
Eastern Shawnee Tribal Gaming Commission
12751 South 705 Road

Phone: 918-666-5151 ext. 1803
Fax: 918-666-7304

Compliance and Certification

Each gaming device and related hardware/software must be in compliance with the terms of the "Compact" entered into between the Eastern Shawnee Tribe of Oklahoma and the State of Oklahoma.

Additionally, each gaming device and related hardware/software shall meet all applicable regulations as set forth in the Tribal Technical Standards as adopted by the ESTGC.

Each gaming device and related software must be certified by an Independent Testing Laboratory.

The Independent Testing Laboratory certification must be submitted with and in the same manner as the software shipment notification. The certifications must be received by the ESTGC a minimum of ten (10) days prior to the scheduled installation date.

Shipment of Gaming Devices

The ESTGC must receive notification of all gaming devices (Class II and Compact) a minimum of ten (10) calendar days prior to the scheduled installation of the gaming device. The hardware/software shall be sent to the ESTGC.

Prior to the shipping, the vendor must provide the ESTGC with a completed Shipping Notification for all gaming devices shipped to the ESTGC. Only one set of software for each gaming device should be sent. The ESTGC will not accept extra software to keep on hand.

Please remit completed forms to:

Email: aburnside@estoo.net
Mail: 12751 S 705 Rd, Wyandotte, OK 74370
Fax: 918-666-7304

The ESTGC must receive a completed Shipping Notification.

The delivery vehicle must be sealed and the seal must match the Shipping Notification provided to the ESTGC.

Upon delivery of any gaming devices to any Eastern Shawnee Tribal Casino, no one shall break the seal of any delivery, nor shall any device be removed from the delivery vehicle without the physical presence and authorization of an ESTGC Inspector.

(Logic boards with programmable storage media or programmable storage media not installed on a logic board must be shipped separately from the gaming machine. Software will not be shipped preinstalled in a gaming machine without written preapproval for the ESTGC. Upon delivery of gaming devices shipped with software preinstalled, the gaming device shall be opened upon delivery and the vendor shall remove the installed software and submit to an ESTGC Inspector.)

Replacement of Program Storage Media

In order to ensure no unauthorized changes are made to a gaming device that has been approved for placement within an Eastern Shawnee Tribal Casino as required by TICS 100.10, TICS 100.13, MICS 543 and 547 and the ESTGC will monitor the removal and/or replacement of Program Storage Media that controls the game or payouts of an gaming device.

The ESTGC shall be notified by the gaming device vendor with a Shipping Notification. Replacement software should be noted on the form along with version number the software will be replacing. The completed form should be sent to: aburnside@estoo.net.

Modifications to Gaming Devices

Any modifications or changes to any previously certified gaming device component or software may not occur until the Independent Testing Laboratory has certified that the modification(s) comply with all requirements of the compact and standards of the ESTGC. This requirement applies to all gaming device's currently in place at an existing Eastern Shawnee Tribal Casino. The ESTGC shall be notified of all requested modifications ten business days prior to the changes being made.

Movements

Movement of gaming devices from one Eastern Shawnee Tribal Casino to another requires the use of the ESTGC Gaming Machine Activity Request Authorization (GMARA) Form using the same established timeline. Internal movement or movements of gaming devices is accomplished by the ESTGC and requires that the Assistant Deputy Gaming Commissioner (ADGC) or the ESTGC Inspector authorized by the ADGC, be notified of such movement. The ADGC or ESTGC Inspector authorized by the ADGC may waive in writing any section or requirement in this policy.

Gaming Machine Logic Compartment Access

The compartment containing the logic board or other related equipment shall be sealed by the ESTGC. Vendor access to this area is restricted unless authorization has been received from the ESTGC for entry. The ESTGC seal shall not be tampered with or compromised at any time.

The following procedures will apply prior to movement of the devices to the gaming floor or storage area:

- ◆ The Key Controller shall maintain secured possession of all keys that control access to the logic board areas or areas where programmable storage media are located or areas which control the game or payouts.
- ◆ Keys that control access to the logic board areas or areas where programmable storage media are located or areas which control the game or payouts will be issued to ESTGC Inspectors. Keys must be returned by the ESTGC Inspector that was issued the keys, once the specific task has been completed or prior to the end of shift for the ESTGC Inspector who was issued the key set.
- ◆ Keys the control access to the logic board areas or areas where programmable storage media are located or areas which control the game or payouts will not be issued to non-ESTGC employees or Vendors.
- ◆ Controlled keys shall be verified to the proper locking mechanism, logged, and issued to the Key Controller where proper key controls shall be implemented.

- ◆ Any area where programmable storage media is located with or without separate locking mechanisms, ESTGC Inspector shall seal the compartment or the individual programmable storage media with a pre-numbered tamper resistant seal that is controlled by the ESTGC.
- ◆ The ESTGC shall apply a permanent serialized identification label to the exterior of the gaming device.

INSTALLATION of Gaming Devices /Media

- 1) Installation of the gaming device/media should occur in a manner that minimizes the impact to the gaming environment.
- 2) When the vendor installation crew is ready, the ESTGC will release the program storage media to the technician(s) to install. The gaming devices/media shall be tested before being released for “live play”.
- 3) 10 days prior to any new installation, the gaming device vendor will provide all EPROM, SIMM Card, Thumb Drive, SSD, CD/DVD, Flash/CF Card or other software equivalent media (media) to the Eastern Shawnee Tribal Gaming Commission (ESTGC), along with documentation either printed or on a CD/DVD from an approved testing lab or legal opinion and Par Sheets. This documentation must describe each gaming device/media type and outline the method for identification. The documentation must include: gaming device/media type, list all identifying numbers on each piece of gaming device/media, device family, device size and expected Test Signature results and pay tables.
- 4) The ESTGC does not maintain master media for the purpose of replacement or duplication. The ESTGC will receive the quantity of media needed for installation into any new gaming machines and will not receive or maintain extra media.
- 5) The ESTGC will test all gaming device/media utilizing a Test Method gaming tester.
 - a. Tested gaming device/media that does not match the signature information provided by the vendor will be retested.
 - b. If tested gaming device/media does not agree with the identification standards or signature specified by the written documentation, the vendor will be notified and asked to provide a new gaming device/media or corrected identifying documentation.
 - c. Gaming device/media that cannot be verified to the signature information is rejected and returned to the vendor.
 - d. Only tested and approved gaming devices/media will be retained by the ESTGC. No master gaming device/media will be maintained by the ESTGC.

- 6) All approved gaming devices/media will be logged to the Vendor Inventory Retention Log/Software Data Base. Media will then be placed into locked storage. Only the ESTGC personnel will have access to the stored media. Media will not be released to a person of any other department. Information to be included on the log:
 - a. Description of each piece of media (as described on the written documentation) and quantity received;
 - b. Vendor
 - c. Date and time;
 - d. Signature and Badge number of person placing in inventory.
- 7) On the established date of installation, the ESTGC will remove the media from locked storage and prepare to escort it to the casino for installation. An entry will be made on the Vendor Inventory Retention Log/Software Data Base:
 - a. Date removed from inventory and taken to the casino for installations;
 - b. Signature and badge number of the ESTGC personnel removing from inventory;
 - c. Reason for removal from inventory.
- 8) A Gaming Machine Media Tracking Form (Media Tracking Form) will be completed by the ESTGC for each piece of media or set of media to be installed in each individual gaming machine. This form will be used to record installation, replacement or removal of all gaming device/media. This form will be used to associate the gaming device/media with the gaming machine in which it is installed.
 - a. For example:
 - i. If two personality EPROM chips and one base ERPOM chip are required for a single machine, the three pieces of media should be recorded on one Media Tracking Form and will be issued to a single gaming machine number at the time of installation;
 - ii. If a single CD-ROM will be installed in a gaming machine, then each CD-ROM will be recorded on a separate Media Tracking Form.
 - b. Complete the entire, Media Tracking Form as follows:
 - i. Date and Time of the activity;
 - ii. Gaming Device/Media Identification;
 1. Numbers shown on media labeling;
 2. Manufacturer, etc.
 - iii. Test Signature;
 - iv. Vendor;
 - v. Indication by checking a box to show that a legible copy of the Par Percentage information and Pay Table is attached to the form (one copy for each form is required);

1. Media cannot be installed without the Par Percentage and Pay Table documentation.

- 9) At the casino and prior to installation, the ESTGC will verify all gaming devices/media or Equivalent Software Media by using the Testing Method testing device and will ensure that the gaming device/media matches the identification and signature information provided by the vendor and now recorded on the Media Tracking Form.
- 10) The media will then be installed in the gaming device. All gaming machines (Class II and Compacted) will be sealed with a serialized seal by the ESTGC. The seal should be placed and secured to the logic board or door in which the media is located.
 - a. Serialized seals are maintained by the ESTGC.
 - b. Seals should be used sequentially.
 - c. Destroyed seals will be recorded and tracked.
 - d. Any type of sticker or seal removed prior to the installation of gaming device/media should be attached to the Gaming Machine Media Tracking Form.
- 11) The Media Tracking Form will be updated to include:
 - a) The permanent gaming machine number assigned by the Casino;
 - b) The serial number of the seal placed over the media;
 - c) Signature and badge number of the vendor assisting during the transaction, if any;
 - d) Signature and badge number of the casino personnel assisting during the transaction;
 - e) Signature of the ESTGC representative involved in the transaction.
 - f) The transaction type for the activity will be marked data as "Installation".
- 12) The original copy will be scanned and kept digitally by the ESTGC, along with a copy of the PAR Percentage and Pay Table Documentation. Forms will be filed in the ESTGC records by gaming device/machine.

MEDIA MALFUNCTION or TESTING

- 1) If a gaming device malfunctions, the casino will notify the vendor.
- 2) If during the process of troubleshooting or repairing the gaming machine the vendor determines that the media is causing the malfunction, the ESTGC will be notified.
 - a. Neither casino staff nor the gaming machine vendor will tamper with or remove the seal securing the media.
- 3) The ESTGC personnel will prepare a Media Tracking Form to record the activity. To expedite this process, a copy may be made of the last prepared Media Tracking Form and a copy will be taken to the casino to use as a reference for preparing a new Media Tracking Form to record this activity. Record the following on the new Media Tracking Form:
 - a. Media Identification;
 - i. Numbers shown on media labeling;
 - ii. Manufacturer, etc.
 - b. Test signature;
 - c. Vendor
 - d. Machine number.
- 4) The casino will notify the vendor and schedule a time for the vendor to be present and pull the media for testing.
- 5) Once the vendor is present the ESTGC personnel will remove the seal securing the media and attach it to the Media Tracking Form.
- 6) The vendor will now pull the media and turn over to the ESTGC personnel for testing.
- 7) Using the Testing Method, the ESTGC will test the media and verify the information from the test results to the information on the Media Tracking Form.
- 8) If a variance to last reported information is discovered, it must be recorded on the Media Tracking Form in the comment/variance section.
- 9) **If the test results do not indicate a problem with the media and the media is not replaced:**
 - a. The media will be reinstalled by the vendor into the gaming machine;
 - b. The ESTGC representative will place a new, serialized seal over the media or access door to the media.
 - c. The new seal number will be recorded on the Media Tracking Form.
 - d. The activity will be recorded as a "Test" on the Media Tracking Form.
- 10) **If the test results indicate a problem with the media and the media must be replaced:**
 - a. The vendor will let the casino know of the bad media and the casino will place an order with the vendor for replacement (software) media and the ESTGC 10 day shipping requirements will be followed.

- i. The ESTGC representative will place a new serialized seal over the area (logic door) where the media is to be installed.
 - ii. The seal number will be recorded on the Media Tracking Form, and the transaction type of the form will be marked as "Removal".
 - iii. The machine will be deactivated until the receipt of the new media. When new media is received, it will be installed as described in the INSTALLATION section of this document.
 - iv. The ESTGC will log the bad media into the ESTGC inventory and it will be held there for 10 days.
 - v. The vendor will have 10 days (from the removal of the media from the machine) to request the media back.
 - vi. If the vendor should request the media to be shipped back, the vendor will provide a return label of selected courier to the ESTGC representative and the bad media will be sent back immediately.
 - vii. If the vendor does not request the media to be sent back and no notification has been sent to the ESTGC, the media will be destroyed after the 10 days.
- 11) Date and time of the activity and signatures and badge numbers for the vendor, if any, casino gaming technician and ESTGC representative, will be added to the Media Tracking Form.
- 12) Copies will be distributed as follows:
- a. Original copy is scanned and kept digitally by the ESTGC and placed into a secured folder.
 - b. Copies are available upon request to the casino and accounting department for their records.

REMOVAL of Gaming Devices/Media

- 1) Media will not be removed from any gaming machine by anyone other than a representative of the ESTGC and following these specific procedures.
- 2) A vendor must notify the ESTGC at least 10 days prior to the removal of gaming machines from any gaming facility owned and operated by the Eastern Shawnee Tribe of Oklahoma. Or, the ESTGC may notify a vendor of their intent to remove gaming machines from an Eastern Shawnee Tribal gaming facility. In either situation, the ESTGC and vendor must establish a mutually agreed upon date and time for removal of the gaming machines.

- 3) The vendor will then submit the ESTGC shipping notification and list the machines that are to be removed along with serial numbers and game themes.
- 4) The ESTGC representative and the vendor will remove the media before machines are removed from the Eastern Shawnee Tribal gaming facility and follow these steps:
 - a. The ESTGC will remove the seal covering the media and attach it to the Media Tracking Form.
 - b. The vendor will remove the media and turn over to the ESTGC representative.
 - c. The ESTGC will log the media into the ESTGC inventory and it will be held there for 10 days.
 - d. The vendor will have 10 days (from the removal of the media from the machine) to request the media back.
 - e. If the vendor should request the media to be shipped back, the vendor will provide a return label of selected courier to the ESTGC representative and the bad media will be sent back immediately. NOTE: A return label can be sent with the shipping notification.
 - f. If the vendor does not request the media to be sent back and no notification has been sent to the ESTGC, the media will be destroyed after the 10 days.
- 5) The ESTGC personnel will prepare a Media Tracking Form to record the activity. To expedite this process, a copy may be made of the last prepared Media Tracking Form and the copy will be taken to the casino as a reference to prepare a new Media Tracking Form to record this activity. The following will be recorded on the new Media Tracking Form:
 - a. Media Identification;
 - i. Numbers shown on media labeling;
 - ii. Manufacturer, etc.
 - b. Test signature;
 - c. Vendor;
 - d. Machine number
 - e. Seal number
 - f. Transaction marked as "Removal"

AUDIT of Media

- 1) On an annual basis, a representative of the ESTGC will test ten percent (10%) of the gaming devices in operation on the casino floor and back of house to ensure the integrity of the gaming device/media.
- 2) A minimum of five (5) machines must be tested for each Compacted vendor and all Class II servers must be tested.

- 3) Vendors will be notified and scheduled to be on site with the ESTGC representative doing the audit. Compacted vendors will be required to pull the media and turn over to the ESTGC representative for the Testing Method. Class II vendors will be required to access servers for the ESTGC representative to perform Testing procedures.
- 4) The following steps will be performed:
 - a. The ESTGC will obtain a Machine Master Report from the accounting department.
 - b. The ESTGC will prepare a Media Tracking Form to record the activity. To expedite this process, a copy may be made of the last prepared Media Tracking Form which will be taken to the casino and used as a reference for completing a new form for this activity. Complete the following on the new Media Tracking Form:
 - i. Media Identification;
 - ii. Numbers as shown on the media labeling;
 - iii. Manufacturer, etc.
 - iv. Test signature;
 - v. Vendor;
 - vi. Machine number;
 - vii. Seal number.
- 5) Using the Testing Method, the ESTGC will test the gaming device/media. The following information will be verified:
 - a. Gaming Device/Media Identification:
 - i. Numbers shown on media labeling;
 - ii. Manufacturer.
 - b. Test signature;
 - c. Vendor;
 - d. Machine number;
 - e. Seal number.
- 6) If a variance to last reported information is discovered, it must be recorded on the Media Tracking Form in the comment/variance section.
- 7) Vendor, Test Signature, machine number/device and seal number will also be verified to the Machine Master Report provided by accounting.
 - a. If discrepancies are observed, accounting should be notified so that corrections can be made.
- 8) If an error occurs during testing, the gaming device/media will be retested using the Testing Method equipment. Error codes and an error description will be recorded on the Media Tracking Form. The vendor will be notified to provide (replacement software) new media and the gaming device or machine will be deactivated.
 - a. The steps outlined for removal under MEDIA MALFUNCTION OR TESTING (7) should be followed.

- 9) Date and Time of the activity and signatures and badge numbers for the vendor, if any, casino gaming technician and ESTGC representative, will be added to the Media Tracking Form.
- 10) The activity type on the Media Tracking Form will be marked as "Audit".

Non-Compliance

It is the vendor's responsibility to ensure that all technicians (and related employees) are aware of the requirements and procedures outlined in this document.

The ESTGC may issue a notice of violation to any vendor (or respective employee) for failure to adhere to these written policies. A notice of violation may result in machine installation delays, fines, license revocation or gaming device removal.

The possible imposition of a fine shall not exceed \$5,000.00 per instance of violation.

Incomplete forms may be considered invalid and shipment or movement may be rejected and the vendor will receive a notice of violation and possible fine.

Types of infractions resulting in non-compliance include but are not limited to:

- ◆ Software sent to the ESTGC that hasn't been Independent Testing Laboratory certified.
- ◆ Software sent to the ESTGC for the wrong jurisdiction.
- ◆ Software sent to the ESTGC that does not match Independent Testing Laboratory certification.
- ◆ Software sent to the ESTGC with the wrong main-game program.
- ◆ Software, server or game modifications made without ESTGC approval.
- ◆ Failure to deliver a gaming device or software prior to ten day notification period.
- ◆ Failure to send software via an independent carrier.
- ◆ Failure to replace revoked software within specified time frame set by the Independent Testing Laboratory.
- ◆ Delivery of gaming device or software without notification.
- ◆ Delivery truck seal missing or tampered with.
- ◆ Contents of delivery truck do not match shipping notification.
- ◆ Logic compartment seal tampered with or broken.

Prohibited Game Play

Any individual who is directly or indirectly involved in hardware or software development, engineering, maintenance, repair, installation, or any activity that relates to the functionality of a

gaming machine, gaming software, or gaming device is PROHIBITED from all game play or promotions at any casino owned or operated by the Eastern Shawnee Tribe of Oklahoma.

Eastern Shawnee Tribal
Gaming Commission
12751 South 705 Road
Wyandotte, OK 74370

Application for Gaming Machine License
Pre-Shipment Notification

This form must be submitted to the Eastern Shawnee Tribal Gaming Commission (ESTGC) at least TEN (10) days prior to the planned date of shipment. No shipment of gaming machines shall occur until the ESTGC or an authorized representative from the gaming facility verifies the licensure of the machine(s) described in this application. A Pre-Shipment Notification needs to be filled out for each machine or conversion that will be on the casino floor prior to installation.

ESTGC VENDOR LICENSE NUMBER: _____

Vendor Name & Contact Person: _____

Contact Phone#: _____ Contact E-Mail: _____

Manufacturer: <input type="checkbox"/>	Individual: <input type="checkbox"/>
Supplier: <input type="checkbox"/>	Entity: <input type="checkbox"/>
Casino Owned: <input type="checkbox"/>	

Location: Indigo Sky Outpost Travel Center

Applies to: A Single Machine A Group of Machines Number of Machines _____

Conversion Number of Conversions _____

Class D License fee - \$50.00 per machine included

Requested Shipment Date: _____

GAME CLASSIFICATION ASSERTED:

CLASS II:

Electronic Player Terminal <input type="checkbox"/>	E-Pull-Tab Reader: <input type="checkbox"/>	E-Pull-Tab Dispenser: <input type="checkbox"/>
Game Similar: <input type="checkbox"/>	Bingo-Based: <input type="checkbox"/>	

The Game has been determined to meet Class II Technical Standards by:

National Indian Gaming Commission: _____ Date: _____

Judicial Determination _____ Date: _____ Citation: _____

Independent Testing Laboratory certified to perform testing in the State _____ Date: _____

If certification will be based on results of independent laboratory analysis provide a copy of the report from a certified laboratory stating that the equipment meets Class II technical standards and attach EPROMs, SIMM cards or other equivalent game card software and a copy of the software media and copies of PAR sheets.

COMPACTED GAME:

E-Bonanza Bingo: <input type="checkbox"/>	E-Instant Bingo: <input type="checkbox"/>	E-Skill/Amusement Game: <input type="checkbox"/>
Specify: _____		

In accordance with the Tribal/State compact the Game has been certified to meet standards contained in the Oklahoma Horse Racing Commission Rules by:

The Oklahoma Horse Racing Commission

Another Tribal Gaming Commission of a Tribe who has entered into the Tribal/State compact

An Independent Testing Laboratory certified to perform testing in the State

If certification will be based on results of independent laboratory analysis provide a copy of the report from a certified laboratory stating that the equipment meets game standards of the Oklahoma Compact and copies of PAR sheets.

Supplemental Information:

Gaming Laboratory Certification (and copies of required documentation)

Name of Laboratory: _____

Address: _____

Date of Report: _____

Name of Contact: _____ Phone #: _____

List all Licensing Jurisdictions which have licensed this gaming system and equipment:
(Attach additional pages if needed)

Tribal Gaming Regulatory Commission/Agency	Date of License/Approval
_____	_____
_____	_____
_____	_____
_____	_____

MACHINE INFORMATION: (one application must be filled out for each new machine or conversion)

Manufacturer: _____

Serial #: _____

Model #: _____

Game Theme: _____

ACKNOWLEDGEMENT

I, _____, hereby affirm that the information provided herein is complete, truthful and accurate.

I understand and agree that until this license application is approved, the placement of the gaming equipment on the gaming floor of any Eastern Shawnee gaming facility will constitute a violation of the Eastern Shawnee Tribal Gaming Ordinance and shall be grounds for the denial of licensure of these machines and the revocation of my gaming vendor license. I hereby declare that I and any persons or entities I represent have been issued an Eastern Shawnee Gaming Vendor License. I further understand and agree that my continuing eligibility to conduct gaming-related transactions with the Eastern Shawnee Tribe, the Eastern Shawnee Tribal Gaming Commission, and or any gaming facility owned by the Eastern Shawnee Tribe depends upon maintaining all requisite gaming licenses in good-standing.

I further acknowledge that neither I nor any entity I represent has paid any monies or any other thing of value to any Eastern Shawnee Tribal official, director, employee, agent or representative, including any member or employee of the Eastern Shawnee Tribal Gaming Commission or any employee or agent of any of the Eastern Shawnee Casino for the purpose of improperly influencing any decision to place the subject gaming system and equipment in any of the Eastern Shawnee Tribe's gaming facilities or to induce the execution of any contract or agreement of any kind in relation to the subject gaming system and equipment.

I fully acknowledge and agree that by entering into a business relationship related to the Eastern Shawnee Tribe's gaming activities that I and any persons or entities I represent have consented to the jurisdiction and authority of the Eastern Shawnee Tribal Gaming Commission and have assumed an enforceable obligation to comply with the Eastern Shawnee Tribal Gaming Ordinance, the Indian Gaming Regulatory Act, and all related federal and tribal rules, regulations, and procedures as they may be amended from time to time notwithstanding any other written or verbal understandings of any kind to the contrary.

Signature

Date

Print or Type Name

ESTGC use only: Denied Granted Machine License Number _____

Bill Acceptor: _____	Progressive: Yes <input type="checkbox"/> No <input type="checkbox"/>
Meter Tracking: Dollar <input type="checkbox"/> Credits <input type="checkbox"/>	Jackpots Paid _____

**LICENSING FEE STRUCTURE FOR VENDORS
OPERATING WITHIN THE
JURISDICTION OF THE EASTERN SHAWNEE TRIBE**

GAMING VENDORS

Gaming Vendors	License Fee
Gaming machine and/ or equipment (Renewed annually)	\$50.00
Vendor gaming machine conversions, replacement software, and updates	\$25.00