

Rule 3772-10-05 | Forms, records, and documents.

- (A) Each casino ~~operator must maintain all form A's and operators internal control system shall include~~ procedures necessary to account for gaming using and retaining books, forms, records, documents, and financial activities stored data. Those internal controls shall include the following:
- (B) All books, forms, records, documents, and stored data required by this rule ~~must to be prepared, maintained, and controlled shall~~ have the name of the casino facility, date of completion, and the title of the book, form, record, document, or stored data.;
- (1) ~~The accounting department shall be responsible for the receipt, control, and issuance of all prenumbered forms. Serial numbers on manual forms shall be printed on the form by the manufacturer. Computerized forms shall be sequentially numbered by the computer system. Documentation of all serial numbers shall be maintained to account for the forms;~~
- (C) Whenever forms or serial numbers are required to be accounted for under this rule and an exception is noted, the exception ~~must shall~~ be reported in writing to the casino ~~operator's operators~~ internal audit department and the commission upon identification of the exception.;
- (D) Whenever a prenumbered form is voided, the original and all copies ~~must shall~~ be marked "void" and the person voiding the form and another person independent of the transaction ~~must shall~~ sign the voided form and list the reason for the voided transaction.;
- (E) Each casino operator's internal controls must include procedures for using and retaining books, forms, records, documents, and stored data as well as the following:
- (1) The department responsible for the receipt, control, and issuance of all prenumbered forms. Serial numbers on manual forms must be printed on the form by the manufacturer. Computerized forms must be sequentially numbered by the computer system. Documentation of all serial numbers must be maintained to account for the forms; and
- ~~(1) Procedures for making corrections to figures manually entered on a completed form; and~~
- ~~(2) Procedures for loading and unloading any locked manual form dispenser.~~
- ~~(E) Each casino operator shall maintain all forms and procedures necessary to account for gaming and financial activities, including:~~
- ~~(1) Inventory ledgers for cards, dice, and chips;~~
- ~~(2) Logs for cards, dice, or chip destruction;~~
- ~~(3) Cage or vault counts;~~

- ~~(4) Safekeeping deposit or withdrawal forms;~~
- ~~(5) Key inventory log;~~
- ~~(6) Key access list;~~
- ~~(7) A tips and gratuity deposit form;~~
- ~~(8) Slot machine and redemption kiosk entry logs;~~
- ~~(9) A slot hand-paid jackpot form;~~
- ~~(10) ——— Cage or bank variance slips;~~
- ~~(11) ——— Ingress or egress logs for the count rooms, surveillance rooms, and cages;~~
- ~~(12) ——— A main bank or vault accountability log;~~
- ~~(13) ——— A returned check log;~~
- ~~(14) ——— A sensitive key log;~~
- ~~(15) ——— A signature authorization list including identification details for each employee listed;~~
- ~~(16) ——— Security incident reports;~~
- ~~(17) ——— Surveillance incident reports;~~
- ~~(18) ——— Surveillance shift logs;~~
- ~~(19) ——— Surveillance recording release logs;~~
- ~~(20) ——— Table credit, inventory, count, and fills slips;~~
- ~~(21) ——— Visitor or vendor log; and~~
- ~~(22) ——— Any other information noted in this chapter or that is deemed necessary either by the casino operator or the commission.~~