

Santa Clara Pueblo Gaming Commission



Sports Book Regulations

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CHAPTER III – MINIMUM INTERNAL CONTROL STANDARDS

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CHAPTER IV – MINIMUM INTERNAL CONTROL STANDARDS

SECTION 17: SPORTS BOOK

17.1 Purpose. The purpose of these regulations is to require for the Gaming Operation to develop System of Internal Control Standards (SICS) for the conduct of event wagering that are in compliance with the Compact. The requirements outlined in this Section supplement and are intended to be interpreted and applied to existing Commission regulations Chapter III Minimum Internal Control Standards.

17.2 Authority. The Commission has authority to regulate and to promulgate and enact Regulations pursuant to delegated authority from the Santa Clara Pueblo Tribal Council and the Santa Clara Pueblo Gaming Code. In addition, the Tribal-State Gaming Compact for the regulation of Class III Gaming between the Pueblo of Santa Clara and the State of New Mexico sets out responsibilities to be carried out by the Santa Clara Pueblo Gaming Commission.

17.3 Licensing of Persons and Entities.

- (1) No person may operate or own any interest in a Sports Book on Santa Clara Lands unless that person holds a gaming license issued by the Santa Clara Pueblo Gaming Commission.
- (2) No person may provide Risk Assessment Services for a Sports Book located on Santa Clara Lands unless that person holds a gaming license issued by the Santa Clara Pueblo Gaming Commission.

17.4 Eligibility Required to Assess Risk for a Sports Book. A person shall not provide risk assessment services for a Sports Book on Santa Clara Lands unless the person has been found suitable for such activities by the gaming regulatory body of the jurisdiction in which that person is located, maintains a gaming license in that jurisdiction, provides documentation of such suitability determination and gaming license to the Commission, and complies with the applicable requirements of Section 17.24. Such person shall notify the Commission in writing within seven (7) days after the initiation of an investigation or audit by the gaming regulatory body of that jurisdiction and shall provide to the Commission the results of any such audit or investigation within thirty (30) days after it is completed.

17.5 Employees of a Sports Book. Any employee of a Sports Book who fulfills the function of receiving and transmitting wagering instructions or any employee supervising this function is a gaming employee and subject to the provisions of the Gaming Code.

17.6 Reserve Requirements.

- (1) Before beginning operations within the jurisdiction of Santa Clara Pueblo, each newly-licensed Sports Book must establish a reserve of at least the greater of \$25,000 or the amount approved by the Commission that at least equals the sum of the amounts specified in Subsection 17.5(2)(a) and (b) at the end of the first week of the Sports Book's operation. After the Sports Book begins operations within the jurisdiction of Santa Clara Pueblo, the Sports Book's reserve must comply with Subsection 17.5(2).

(2) Each Sports Book shall at all times maintain a reserve of not less than the greater of Twenty-five Thousand Dollars (\$25,000) or the sum of the following amounts:

- (a) Amounts accepted by the Sports Book as wagers on contingencies whose outcomes have not been determined; and
- (b) Amounts owed but unpaid by the Sports Book on winning wagers through the period established by the Book for honoring winning wagers.

17.7 Issuance and Control of Betting Tickets.

- (1) Immediately upon accepting a wager, the Book shall create a betting ticket on which the terms of the wagers are written.
- (2) Betting tickets must bear the name and address of the Book, and an expiration date.

17.8 Acceptance of Wagers.

- (1) Books may not accept wagers unless made with cash, chips, tokens, or other representatives of value approved by the Commission on credit extended in accordance with the provisions of the Compact.
- (2) A book shall accept wagers only on its licensed premises.
- (3) A book shall not knowingly accept money or its equivalent ostensibly as a wager upon an event whose outcome has already been determined.
- (4) Books may accept wagers, including parlay card wagers, as to which of the participating contestants will win specified sports events and as to whether the total points scored in a specified game, match, or similar sports event will be higher or lower than a number specified for that event. Licensed Sports Books shall not accept wagers, including parlay card wagers, on other contingencies unless their outcomes are reported in newspapers of general circulation or in official, public records maintained by the appropriate league or other governing body, or unless the pertinent sports events are televised live at the Book and a Book employee other than a betting ticket writer monitors the telecast, records the occurrence of the pertinent events and contingencies simultaneously with their occurrence, and records the time of their occurrence.
- (5) No book or agent or employee of a Book may accept a wager from a person who the Book, agent, or employee knows or reasonably should know is placing the wager in violation of the Gaming Code or federal law.
- (6) No book may hold a patron's money or its equivalent on the understanding that the Book will accept the money as a wager only upon the occurrence of a specified, future contingency, unless a betting ticket documenting the wager and contingency is issued immediately when the Book receives the money or its equivalent.
- (7) A book may not accept wagers unless the wagering proposition is posted. Propositions may be posted by electronic or manual means, including printed media. If posted propositions are not updated simultaneously with actual changes to the propositions, an announcement, audible throughout the Book, must be made simultaneously with the actual changes followed by updating the posted propositions within a time specified in the house rules.

(8) Books may not accept wagers unless made with cash, chips, tokens, or other representatives of value approved by the Commission on credit extended in accordance with the provisions of the Compact.

17.9 Wagers and Payouts in Excess of \$10,000.

(1) Prior to accepting any wager in excess of ten thousand dollars (\$10,000) or making a payout in excess of ten thousand dollars (\$10,000) on a winning wager the Book shall:

- (a) Obtain the patron's name;
- (b) Obtain the patron's permanent address;
- (c) Obtain the patron's social security number or passport number;
- (d) Obtain one of the following identification credentials from the patron:
 - (i) Driver's license;
 - (ii) Passport;
 - (iii) Non-resident government-issued identification credentials; or
 - (iv) Other picture identification credential normally acceptable as a means of identification when cashing checks; and
- (e) Examine the identification credential obtained to verify the patron's name and the accuracy of the information obtained pursuant to Subsections 17.8(1)(b) and (c).

(2) Prior to accepting a wager in excess of ten thousand dollars (\$10,000) or making a payout in excess of ten thousand dollars (\$10,000) on a winning wager, if a Book knows a person is placing a wager or receiving a payout allowed by these regulations on behalf of another person, the licensee shall obtain and record the information required by paragraphs (i) through (v) of Subsection 17.8(1)(d) with respect to all persons placing the wager or receiving the payout, and the licensee shall reasonably attempt to obtain and, to the extent obtained, shall record the information required by paragraphs (i) through (v) of Subsection 17.8(1)(d) with respect to all persons for whom the wager was placed and for whom the payout received.

(3) Subsequent to accepting a wager in excess of ten thousand dollars (\$10,000) or making a payout in excess of ten thousand dollars (\$10,000) on a winning wager the Book shall record or maintain records that include:

- (a) The patron's name and, if applicable, the agent's name;
- (b) The patron's address and, if applicable, the agent's address;
- (c) The patron's social security number or other valid government identification number, and, if applicable, the agent's social security number or other valid identification number;
- (d) A description including any document number of the identification credential examined for the patron and, if applicable, for the agent;
- (e) The amount of the wager or payout;
- (f) Window number or other identification of the location where the wager or payout occurred;
- (g) The time and date of the wager or payout;
- (h) The names and signatures of the Book employees accepting or approving the wager and payout on the wager; and
- (i) Any other information as required by the Executive Director.

A book shall not implement alternative procedures to comply with this Subsection without the written approval of the Commission.

(4) Each book shall report the wagers and payouts required to be recorded pursuant to this Section on a “Book Wagering Report,” a form published or approved by the Commission that includes, but is not limited to:

- (a) The patron’s and agent’s (if applicable) name;
- (b) The patron’s and agent’s (if applicable) government-issued identification credential information;
- (c) The patron’s and agent’s (if applicable) social security number;
- (d) Wager and payout amounts; and
- (e) Date of transactions.

Reports shall be submitted to the Commission no later than fifteen (15) days after the end of the month of the occurrence of the transaction and in such manner as the Commission may approve or require. Each Book shall file an amended report if the licensee obtains information to correct or complete a previously submitted report, and the amended report shall refer to the previously submitted report. Each Book shall retain a copy of each report filed for at least five (5) years.

17.10 Multiple Wagers.

(1) A Book and its employees and agents shall not knowingly allow, and each Book shall take reasonable steps to prevent, the circumvention of Section 17.8 by multiple wagers within its designated 24-hour period with a patron or a patron’s agent or by the use of a series of wagers that are designed to accomplish indirectly that which could not be accomplished directly. As part of a Book’s efforts to prevent such circumventions relative to Section 17.8, a Book shall establish and implement wagering multiple transaction logs.

(2) Each Book shall record in a wagering multiple transaction log all wagers in excess of two thousand five hundred dollars (\$2,500), or in smaller amounts that aggregate in excess of two thousand five hundred dollars (\$2,500) when any single officer, employee, or agent of the Book has actual knowledge of the wagers or would in the ordinary course of business have reason to know of the wagers between the Book and a patron or a person who the Book knows or has reason to know is the patron’s confederate or agent. This record shall be made for wagers occurring during a designated 24-hour period, within a monitoring area.

(3) Each log entry in a wagering multiple transaction log shall be made by the employee accepting or approving the wager, immediately after accepting the wager, and shall include at a minimum:

- (a) Description of the patron, and, if applicable, the agent or confederate, which may include such identifiers as age, sex, race, eye color, hair, weight, height and attire, if the person is present when the wager is accepted;
- (b) Patron’s name and agent’s name, if known;
- (c) Window number or other identification of the location where the wager occurred;
- (d) Time and date of the wager;
- (e) Dollar amount of the wager; and
- (f) Signature or electronic signature of person accepting or approving the wager.

One log shall be maintained for each monitoring area, for each designated 24-hour period. A log is completed for each 24-hour period regardless of whether any wagers occurred. At the conclusion of

each designated 24-hour period, the last entry on a log which is recorded manually shall be an indication that the end of the designated 24-hour period has occurred. A book shall not implement alternative procedures or records to comply with this Subsection without the written approval of the Executive Director.

(4) Each book shall aggregate all wagers in excess of two thousand five hundred dollars (\$2,500) or smaller amounts that aggregate in excess of two thousand five hundred dollars (\$2,500) when any single officer, employee, or agent of the Book has actual knowledge of the wagers or would in the ordinary course of business have reason to know of the wagers between the Book and a patron or a person who the Book knows or has reason to know is the patron's confederate or agent during a designated 24-hour period within a monitoring area.

(5) Before completing a wager that, when aggregated with other wagers pursuant to Subsection 17.9(4), will aggregate to an amount that will exceed ten thousand dollars (\$10,000) the Book shall complete the identification and recordkeeping requirements described in Subsection (a) of Section 17.8(1). When aggregated wagers exceed \$10,000 the Book shall complete the recording and reporting requirements of Section 17.8.

(6) If a patron places a wager that pursuant to Subsection 17.8(4) is to be aggregated with previous wagers for which a record has been completed pursuant to this Section or Section 17.8, the Book shall complete the identification, recording and reporting procedures described in Section 17.8 for any additional wager regardless of amount occurring during a designated 24-hour period.

(7) As used in this Section:

- (a) "Designated 24-hour period" means the gaming day designated by the Commission.
- (b) "Monitoring area" means all Sports Book writing locations unless otherwise approved by the Commission.

(8) A true and accurate copy of each of the Book's wagering multiple transaction logs shall be submitted to the Commission no later than fifteen (15) days after the end of the month in which a multiple transaction occurred, in such manner as the Commission may approve or require. A Book shall retain its wagering multiple transaction logs for at least five (5) years,

17.11 Structured Wagers

(1) A Book, its officers, employees or agents shall not encourage or instruct the patron to structure or attempt to structure wagers. This Subsection does not prohibit a Book from informing a patron of the regulatory requirements imposed upon the Book, including the definition of structured wagers.

(2) A Book, its officers, employees or agents shall not knowingly assist a patron in structuring or attempting to structure wagers.

(3) As used in this Section, "structure wagers" or "structuring wagers" means to willfully conduct or attempt to conduct a series of wagers in any amount, at one or more Books, on one or more days in any manner as to willfully evade or circumvent the recording and reporting requirements of Section 17.8. The wager or wagers need not exceed the dollar thresholds in Section 17.8 at any single Book in

any single day in order to constitute structuring within the meaning of this definition. Employees found to be assisting in structuring wagers will be immediately terminated and may have their gaming licenses revoked.

17.12 Payment of Winning Wagers

(1) Except as otherwise provided in this Subsection, a Book shall make payment on a winning wager to the person who presents the patron's copy of the betting ticket representing the wager. A Book need not make payment to a person who the Book or an agent or employee of the Book knows is not the person to whom the patron's copy was issued. A Book shall not make payment on a winning wager to a person who the Book or its agent or employee knows or reasonably should know is collecting the payment on behalf of another for monetary consideration or in violation of federal law. A Book may withhold payment of a winning wager if the patron refuses to supply identification or any other documentation required by the Gaming Code, these regulations or federal law.

(2) A Book shall honor winning betting tickets for ninety (90) days after the conclusion of the event wagered upon unless a longer period is established by the Book. The Book shall state the redemption period on each betting ticket, in house rules and on notices conspicuously placed about the licensed premises. Payment by mail may be made only after presentment of the betting ticket and all identification information and documentation required by the Gaming Code, these regulations or federal law and must be made no later than thirty (30) days after presentment. A Book may accept, a photocopy of a driver's license or passport in lieu of an actual driver's license or passport when presentment of the betting ticket is made by mail. The person presenting the betting ticket by mail must certify in writing that any photocopy of identification credentials presented to the Book is a true and accurate copy of the original identification credential. Books shall maintain the information and documentation presented for a period of five (5) years.

17.13 Parlay Card Wagers

(1) As used in this section, "parlay card wager" means a wager on the outcome of a series of three (3) or more games, matches, or similar sports events or on a series of three (3) or more contingencies incident to particular games, matches or similar sports events.

(2) Each Sports Book that offers to accept parlay card wagers shall fully, accurately, and unambiguously disclose on all parlay card wagering forms:

- (a) The amounts to be paid to winners or the method by which such amounts are to be determined and, if the sports pool limits payouts to an aggregate amount under Subsection 17.13(3), the aggregate amount and the establishments to which it applies.
- (b) The effect of ties.
- (c) The minimum and maximum betting limits, if any.
- (d) The procedure for claiming winnings, including but not limited to the documentation players must present to claim winnings, time limits, if any, for claiming winnings, whether winnings may be claimed and paid by mail and, if so, the procedure for

claiming winnings by mail.

- (e) The effects of an event wagered on not being played on the date specified and of other events that will cause selections to be invalid.
 - (f) The requirement that a parlay card wager must consist of at least three (3) selections that have not become invalid under applicable house rules or the wager will be void and the money wagered will be refunded.
 - (g) The rights, if any, reserved by the Sports Book, including but not limited to reservation of the right to refuse any wager or delete or limit any selection prior to the acceptance of a wager, or to withhold payouts of specified amounts until the outcome of each proposition offered by the parlay card has been determined.
 - (h) The requirement that the point spreads printed on the parlay card wagering form when the wager is accepted will be used to determine the outcomes of the wagers.
 - (i) That the Sports Book' house rules apply to parlay cards unless otherwise stated on the parlay card wagering form.
- (3) As used in this Subsection, “parlay card” means a wagering form offering exactly the same propositions on exactly the same terms.
- (a) A Book may limit the aggregate amount to be paid to winners on a parlay card in proportion to the amounts won, provided that the aggregate limit must not be less than the amount disclosed on the parlay card (the “base amount”) plus twice the amount wagered on the parlay card at all establishments to which the aggregate limit applies.
 - (b) When a Sports Book knows or reasonably should know that actual payouts on a parlay card will be limited by an aggregate amount established under Subsection 17.13(3)(a), the Sports Book shall cease accepting wagers and making payouts on the parlay card. After the outcome of the final game, match, or event covered by the parlay card has been determined, the Sports Book shall pay each winner at least that proportion of the payout amount stated on the parlay card that the aggregate limit bears to total payouts (including payouts made prior to the suspension of payouts) that would otherwise have been made but for the limit.
 - (c) When a Sports Book ceases accepting wagers and making payouts on a parlay card under Subsection 17.13(3)(b), the Book may accept wagers on the parlay card on those propositions whose outcomes have not been determined if the parlay card, patron receipts, and related documentation are distinguishable from the card, receipts, and documentation as to which the Sports Book has ceased accepting wagers, in which case the parlay card shall be considered a different parlay card for purposes of this Subsection.
 - (d) If a Book pays the winner of a parlay card wager more than ten percent (10%) of the base amount established under Subsection 17.13(3)(a) before the outcome of every proposition offered by the parlay card has been determined, the Book must pay every winner of a wager on that parlay card the proper payout amount stated on the parlay card in full and without regard to any aggregate limit established under Subsection 17.13(3)(a).
 - (e) In specific cases the Commission may waive or impose requirements more restrictive than the requirements of this Subsection.
- (4) Prior to adopting or amending parlay card house rules, a Book shall submit such house rules to the Executive Director for approval.

17.14 Computerized Bookmaking Systems

- (1) Before beginning operations, each Book shall install and thereafter maintain a computerized Bookmaking system meeting the specifications approved by the Commission.

17.15 Prohibition Against Rescission of Wagers. A Book may not unilaterally rescind any wager without the prior written approval of the Commission.

17.16 Prohibited Wagers

- (1) No wagers may be accepted or paid by any Book on:
 - (a) The outcome of any election for any tribal, local, state, or federal public office;
 - (b) Any virtual event unless:
 - (i) An approved gaming device is used to determine the outcome(s) and to display an accurate representation of the outcome(s) of the virtual event;
 - (ii) A live display of the virtual event is offered to all approved sports pools; and
 - (iii) The virtual event is approved by the Executive Director in accordance with this Section 17.16.
- (2) A request for approval to accept wagers on a virtual event shall be made by a Book on such forms approved by the Commission, and shall include:
 - (a) A full description of the event and the manner in which wagers would be placed and winning wagers would be determined.
 - (b) A full description of any technology which would be utilized to offer the event.
 - (c) Such other information or documentation which demonstrates that:
 - (i) The event could be effectively supervised;
 - (ii) The outcome of the event would be verifiable;
 - (iii) The outcome of the event would be generated by a reliable and independent process;
 - (iv) The outcome of the event would be unlikely to be affected by any wager placed;
 - (v) The event could be conducted in compliance with any applicable laws; and
 - (vi) The granting of the request for approval would be consistent with the public policy of the Pueblo; and
 - (d) Any additional or supplemental information as the Executive Director may require.
- (3) The decision whether to grant approval to accept wagers on a virtual event shall be based on all relevant information including, but not limited to, the factors in Subsection 17.16(2). The Commission may subject any technology that would be used to offer the event to such testing, investigation and approval process as it deems appropriate.
- (4) A Book aggrieved by an administrative decision of the Executive Director may submit the matter for review by the Commission.
- (5) Upon approval of the acceptance of wagers on a virtual event, the Executive Director shall provide notice to the Book of such approval including any conditions and limitations placed on such approval. Thereafter, the Book may accept wagers on such other event pursuant to the approval and any conditions and limitations placed thereon.

17.17 Reports of Suspicious Transactions.

- (1) As used in this Section, “suspicious transaction” means a transaction which a Book knows or, in the judgment of it or its directors, officers, employees or agents, has reason to suspect:
 - (a) Is, or would be if completed, in violation of, or is part of a plan to violate or evade, any federal or, Pueblo of Santa Clara, law or regulation;
 - (b) Is, or would be if completed, wagering by, or on behalf of, a coach or participant in a sporting event or other event on such event; or
 - (c) Has no business or apparent lawful purpose, or is not the sort of transaction the particular patron would normally be expected to perform, and the Book knows of no reasonable explanation for the transaction after examining the available facts, including the background of the transaction.
- (2) A Book:
 - (a) Shall file with the Commission, by using a form developed by the Commission, a report of any suspicious transaction, if it involves or aggregates to more than two thousand five hundred dollars (\$2,500) in funds or other assets; and
 - (b) May file a report with the Commission of any suspicious transaction, regardless of the amount if a Book, its employees or agents believes it is relevant to the possible violation of any law or regulation.
- (3) The report in Subsection 17.17(2) shall be filed no later than thirty (30) calendar days after the initial detection by the Book, its employees or agents of facts that may constitute a basis for filing such a report. In situations involving violations that require immediate attention, the Book shall immediately notify, by telephone, the Executive Director in addition to timely filing a report.
- (4) A Book shall maintain a copy of any report filed and the original or business record equivalent of any supporting documentation for a period of five (5) years from the date of filing the report. Supporting documentation shall be identified, and maintained by the Book as such, and shall be deemed to have been filed with the report. A Book shall make all supporting documentation available to the Executive Director and any appropriate law enforcement agencies upon request.
- (5) A Book and its directors, officers, employees, or agents who file a report pursuant to this regulation shall not notify any person involved in the transaction that the transaction has been reported. Any report filed with the Commission is confidential and may be disclosed only by the Commission in the necessary administration of their duties and responsibilities under the Gaming Code. Any report, whether written or oral, is absolutely privileged and does not impose liability for defamation or constitute a ground for recovery in any civil action.

17.18 Wagers: Terms and Conditions

- (1) No Book shall:
 - (a) Accept from a patron, directly or indirectly, less than the full-face value of a wager;
 - (b) Agree to refund or rebate to a patron any portion or percentage of the full-face value of a wager.
- (2) The provisions of this Subsection do not prohibit the granting of complimentaries by a Book in compliance with the Compact and the Gaming Code.

- (3) A Book may award player loyalty program points based on wagers placed by a patron, however, such points may only be redeemed in accordance with the rules of the program, provided that points earned based on wagers may not be redeemed for cash, items or services that the Book intends to or does redeem for cash, or free-play on any gaming device or gambling game, or for items or services other than complimentaries allowed under Subsection 17.18(2).
- (4) A Book shall not, in an attempt to provide a benefit to the patron in violation of Subsection 17.18(1), offer a wagering proposition, or set or move its wagering odds, lines or limits.
- (5) The Commission may require a Book to:
- (a) Disclose its betting limits in its house rules and obtain approval from the Executive Director before changing those limits or modifying its house rules; and
 - (b) Document and report, in such manner as the Executive Director may approve or require, wagering limits, temporary changes to such limits, or the acceptance of a wager or series of wagers from the same patron that exceeds such limits. The report may include, but is not limited to:
 - (i) Recording the name of the patron for which betting limits are changed or exceeded;
 - (ii) Recording the name of the employee approving the acceptance of a wager that exceeds betting limits or causes a change in betting limits;
 - (iii) Describing the nature of the temporary change and any related wagers; and
 - (iv) Describing how the temporary change in limit will benefit the Book.
 - (c) The Executive Director shall notify the Book, in writing, of the decision to impose such requirements and such decision shall be considered an administrative decision and, therefore, reviewable by the Commission.
- (6) A Book shall not set lines or odds, or offer wagering propositions, designed for the purposes of ensuring that a patron will win a wager or series of wagers.

17.19 Communications Technology

- (1) Before installing or permitting the installation of any communications technology on the premises of a Book, the Book shall notify the Commission in writing of the location and number or other identifier of each communications technology and shall obtain the approval from the Commission for each communications technology. The Commission may condition the approval in any manner the Commission considers appropriate.
- (2) Before a Book accepts or transmits any wagering communications, the Book must obtain the approval of the Commission to accept such wagering communications and wagering instructions, and thereafter use only the communications technology approved for that purpose. The Book must obtain written permission from the Commission by January 1st of each calendar year to continue using the communications technology.
- (3) As a condition to the granting of the privilege of having communications technology upon the licensed premises, the Book shall be deemed to have consented to the authority of the Commission to require the immediate removal of any communications technology from the licensed premises at

any time without prior notice of hearing. After any such removal, the Book may request a hearing before the Commission as to whether or not circumstances may warrant the permanent revocation of the privilege of having communications technology upon the premises.

(4) Upon the request of either the Commission or Executive Director, a Book shall provide a written consent for the Commission to examine and copy the records of any telephone, telegraph, or other communications company or utility that pertain to the operation of the Book.

17.20 Wagering Communications

(1) A Book may only accept a wager made in person. Each Book must conspicuously display signs to that effect on its premises.

(2) In addition to the posting of the wager in the computerized Bookmaking system, all wagering communications shall be electronically recorded and retained for a period of sixty (60) days. The method of recording the wager must be approved by the Commission. Such recordings must be made immediately available to any agent of the Commission upon request.

17.21 House Rules. Each Book shall adopt, conspicuously display at its licensed premises, and adhere to written, comprehensive house rules governing wagering transactions with patrons. Without limiting the generality of the foregoing, the rules must specify the amounts to be paid on winning wagers, the effect of schedule changes, the redemption period for winning tickets, and the method of noticing odds or line changes to patrons. House rules must state that wagers may be accepted at other than the currently posted terms, if applicable. Prior to adopting or amending such house rules, a Book shall submit such rules to the Commission for approval.

17.22 Business Entity Wagering Prohibited. A Book is prohibited from accepting wagers from a business entity

17.23 Records and Forms. Books shall create and maintain the records and reports required by this regulation in such manner and using such forms as the Commission may require or approve. The Commission may require Books to create and maintain such other records and reports as are necessary or convenient for strict regulation of Books. Except as otherwise provided in this regulation, Books shall preserve the records required by this regulation for at least five (5) years after they are made. The Commission may at any time examine and copy the records of any Book. Each Book shall comply with all other applicable regulations of the Commission to the extent not in conflict with this regulation.

17.24 Risk Assessment Services

(1) A person that intends to provide Risk Assessment Services to a Book located on Santa Clara Lands shall:

- (a) Apply for a gaming license in the jurisdiction in which its operations are located;
- (b) Obtain and maintain a gaming license at all times while providing Risk Assessment Services to a Book on Santa Clara Lands;
- (c) Enter into a written agreement to provide Risk Assessment Services with any such Book. A copy of such executed agreement shall be provided to the Commission no later than the date the Book begins operation within the jurisdiction of the Pueblo or on which such person commences Risk Assessment Services for the Book;
- (d) No later than the date on which such person commences Risk Assessment Services, submit its systems of accounting and internal control used for Risk Assessment Services to the Commission. Such systems must include provisions for complying with all federal laws and regulations;
- (e) Provide such other information as the Commission may require concerning Risk Assessment Services.

17.25 Compliance with Tribal Internal Control Standards. The Commission will ensure the Gaming Operation remains in compliance with the TICS. Failure to comply with the TICS is an unsuitable method of operation. The Commission shall provide notification to the gaming enterprise or gaming operation when a violation is occurring or has occurred and may take enforcement action in accordance with Section 3 of Chapter I of these regulations.

17.26 Final Decision. If at any time the interpretation of these regulations is in question, the decision of the Commission shall be final and non-appealable.