

Santa Clara Pueblo Gaming Commission



SHIPMENT, DELIVERY, INSTALLATION, AND REMOVAL REQUIREMENTS

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Mission Statement

With respect to Santa Clara Pueblo Tribal Leadership, the Santa Clara Pueblo Gaming Commission is committed to protecting the assets of the tribe by ensuring the integrity of gaming in accordance with all laws, regulations, and agreements. We assure the health and safety of all persons within our influence while enjoying safe gaming within Santa Clara Pueblo Lands.

Purpose

The purpose of this document is to define the policies and procedural requirements for shipping, delivery, installation, modification, removal, replacement, or upgrade of electronic gaming devices, program storage media and table games equipment within the jurisdiction of the Santa Clara Pueblo as regulated by the Santa Clara Pueblo Gaming Commission (“SCPGC”).

Vendor Licensing

The Electronic Gaming Device (EGD) or Table Games Equipment vendor must ensure all SCPGC licensing requirements have been met prior to shipping any EGD, Table Games Equipment, and software and/or program storage media. Vendors must receive at least a temporary vendor license to conduct business with a Santa Clara Pueblo casino.

Any contract for the purchase or lease of any gaming device must be submitted to the SCPGC for review. Provisions in the contract shall include language to the effect that the EGD or Table Games Equipment vendor shall fulfill written and verbal commitments of support and shall maintain compliance with all tribal laws and regulations of the Santa Clara Pueblo and the Santa Clara Pueblo Gaming Commission.

Licensing information can be obtained by contacting:

Santa Clara Pueblo Gaming Commission
Licensing Department
104B S. Riverside Dr. | Española, NM 87532
Phone: 505-747-4306
Fax: 505-747-4371
Email: licensing@scpgc.net

Compliance and Certification

Each EGD, Table Games Equipment and/or related software or program storage media must be in compliance with the terms of the 2015 Tribal-State Gaming Compact (“Compact”) entered into between the State of New Mexico and the Santa Clara Pueblo.

Additionally, each gaming device and related software shall meet all applicable regulations as set forth in the Santa Clara Pueblo Gaming Regulations for Technical Standards for Electronic Gaming Devices (“Regulations”), as adopted by the SCPGC.

Each EGD, software and/or program storage media must be certified by an Independent Testing Laboratory (“ITL”) (i.e. Gaming Laboratories International and BMM Testlabs certification letters/reports) for the New Mexico Tribal Jurisdiction.

Shipment of Program Storage Media

The vendor must provide the SCPGC a completed software shipment notification form ten (10) business days prior to the delivery of all sensitive program storage media, including game controllers, which affects the outcome and payouts. Any boards with permanently attached program storage media, must be shipped directly to the SCPGC overnight. Only one set of software for each EGD should be sent as the SCPGC will not accept extra software to keep on hand. All software shall be sent to the SCPGC by an independent carrier. A shipment notification does not need to be sent to the SCPGC for replacement non-sensitive hardware and or EGD components. **Waivers will only be granted under certain emergency circumstances and will require the approval of the SCPGC Executive Director or designee.**

****Should Program Storage Media arrive at the SCPGC Office prior to the scheduled delivery date, it will not be accepted and will be returned to vendor and may be subject to disciplinary action imposed by the SCPGC. Program Storage Media that arrives at the SCPGC office not for this jurisdiction according to ITL approval letters will be returned and may be subject to disciplinary action imposed by the SCPGC.****

For participation and Wide Area Progressive (WAP) games, the SCPGC must receive all software or program storage media which effects the game outcome and payouts, within five (5) business days prior to the scheduled conversion and/or installation of all EGD.

Overnight shipments may only be shipped Monday through Friday, exception of federal holidays.

All electronic copies of PAR sheets and ITL certification letters shall be provided or made available to SCPGC Executive Director, Compliance Department, and Santa Clara Hotel and Casino Slot Department. **Equipment required to verify software must be sent to SCPGC prior to software arriving to verify that SCPGC has the equipment to test software.**

Please email notifications and address program storage media shipments to:

Santa Clara Pueblo Gaming Commission
Compliance Department
104B S. Riverside Dr. | Española, NM 87532
Phone: 505-747-4306
Fax: 505-747-4371
Email: compliance@scpgc.net

Shipment of Electronic Gaming Devices

The vendor must provide the SCPGC a completed gaming device shipment notification form ten (10) business days prior to the delivery of all EGD to arrive a Santa Clara Pueblo casino. All EGD that arrive will need to be inspected for serial number accuracy and must match the documentation provided to the SCPGC on the gaming device shipment notification. No EGD shall enter the gaming facility until serial numbers have been verified by the SCPGC.

The delivery vehicle must have a numbered seal and the seal must match the documentation provided to the SCPGC on the gaming device shipment notification. The SCPGC prohibits any combined shipment between the Santa Clara Pueblo jurisdiction and any other jurisdiction. Upon delivery of any EGD to a Santa Clara Pueblo casino, no seal shall be broken without the physical presence and authorization of the SCPGC.

Installation of Electronic Gaming Devices

In order to ensure no unauthorized changes are made to any EGD that has been approved for placement within a Santa Clara Pueblo casino as required by SCPGC Regulations Section 22.9 the SCPGC will inspect all installations.

The SCPGC shall be notified of all projects, five (5) business days prior to the requested date.

Program storage media will be provided to the technician(s) to install. The installation of software will be performed in accordance with any technical standards as approved by the SCPGC. Verification of the serial numbers, asset numbers, game themes, payable identification, software signatures, of new installs will be inspected by the SCPGC.

All locks for the gaming device and the logic board must be installed prior to any game testing. The logic board lock must be different than all other EGD locks.

The EGD must be connected to an online data accounting monitoring system (“SDS”) prior to any game testing performed by the casino operation. The EGD shall be inspected and approved by the SCPGC before being released for “live play”. For all WAP machine installations, surveillance camera coverage must be inspected and approved by the SCPGC prior to WAP gaming devices being released for “live play”.

Modification of Electronic Gaming Devices

In order to ensure no unauthorized changes are made to an EGD that has been approved for placement within a Santa Clara Pueblo casino as required by SCPGC Regulations Section 22.9 the SCPGC will inspect all replacements, conversions or upgrades.

The SCPGC shall be notified of all projects, five (5) business days prior to the requested date.

Program storage media will be provided to the technician(s) to install. The installation of software will be performed in accordance with any technical standards as approved by the SCPGC. Verification of the serial numbers, asset numbers, game themes, payable identification, software signatures, of new conversions or upgrades will be inspected by the SCPGC.

All locks for the gaming device and the logic board must be installed prior to any game testing. The logic board lock must be different than all other EGD locks.

The EGD must be connected to an online data accounting monitoring system (“SDS”) prior to any game testing performed by the casino operation. Any modifications or changes such as: conversions, percentage changes, ram clears, upgrades or replacements to the EGD shall be inspected and approved by the SCPGC before being released for “live play”. For all WAP machine relocations, surveillance camera coverage must be inspected and approved by the SCPGC prior to WAP gaming devices being released for “live play”.

Any modifications or changes to any previously certified EGD component or software may not occur until the ITL has certified that the modification(s) complies with all requirements of the Compact and Regulations of the SCPGC. This requirement applies to all EGD’s currently in place at an existing Santa Clara Pueblo casino.

Logic Compartment Access

The compartment containing the logic board or other related equipment shall be locked and/or sealed upon approval of the SCPGC. Vendor access to this area is restricted unless authorization has been granted from the SCPGC for entry. The logic door lock or seal shall not be tampered with or compromised at any time. The EDG must be removed from “live play” and the SCPGC must be notified immediately of the discovery of any broken seals or unlocked doors. The EDG will be inspected and approved by the SCPGC prior to being released for “live play”.

Electronic Gaming Device Removals

In accordance with Regulation 7.23(d), the EGD vendor shall provide the SCPGC with a completed ten (10) business days Gaming Device Shipment Notification prior to the EGD removal. The vendor shall provide the SCPGC with a completed listing of each EGD intended to be removed.

NOTE: Removals at the request of a Santa Clara Pueblo casino may not be expedited sooner than the ten (10) business day notification, **an approval will not be given by the SCPGC.** All necessary information will be provided to the SCPGC by the casino requesting the removal. It will also be the responsibility of the casino to notify the vendor of the removal. In addition to the EGD removal notification, the vendor shall notify SCPGC of any software or program storage media wanting to be returned. The vendor will provide payment for shipping of wanted software. All unwanted software will be destroyed 30 days after removal.

Shipment of Table Games Equipment

The vendor must provide the SCPGC a completed shipment notification form for all Table Games equipment including layouts, playing cards and dice, and shuffle machines ten (10) business days prior to the delivery of all EGD to arrive a Santa Clara Pueblo casino. All software shall be sent to the SCPGC by an independent carrier. A shipment notification does not need to be sent to the SCPGC for replacement non-sensitive hardware and or table games components. **Waivers will only be granted under certain emergency circumstances and will require the approval of the SCPGC Executive Director or designee.**

The delivery vehicle must have a numbered seal and the seal must match the documentation provided to the SCPGC on the table games equipment shipment notification form, if applicable. Upon delivery of any table games equipment to a Santa Clara Pueblo casino, no seal or package shall be broken without the physical presence and authorization of the SCPGC. No table games equipment shall be removed from the delivery vehicle or unwrapped from any packaging until all equipment has been verified by the SCPGC.

Overnight shipments may only be shipped Monday through Friday, exception of federal holidays.

All electronic copies of PAR sheets and ITL certification letters shall be provided or made available to SCPGC Executive Director, Compliance Department, and Santa Clara Hotel and Casino Table Games Department. **Verification equipment required to verify software must be sent to SCPGC.**

Layouts and Shuffler Software Installs

When a layout is installed at a table, the SCPGC will inspect the layout for any defects. SCPGC will also check surveillance coverage of the game to ensure that it is adequate before being released for “live play”. SCPGC representative will inspect and ensure that shufflers have the installed software and port sealed. Vendor will notify SCPGC of any scheduled maintenance of any table games.

Non-Compliance and Disciplinary Action

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

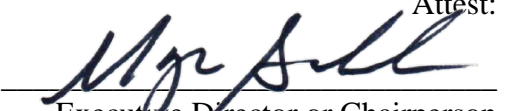
The SCPGC may issue a notice of violation to any vendor (or respective employee) for failure to adhere to these written policies and procedural requirements. A notice of violation may result in gaming device installation delays, EGD removal, levy of fines, and license suspension or revocation.

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

- Software sent to the SCPGC that has not been ITL certified.
- Software sent to the SCPGC for the wrong jurisdiction.
- Software sent to the SCPGC that does not match ITL certification.
- Software sent to the SCPGC with the wrong program storage media as indicated.
- Software, server or game modifications made without SCPGC approval.
- Delivery of any EGD prior to the Ten (10) business day notification period.
- Delivery of any software prior to the Ten (10) business day notification period.
- Delivery of any table games equipment prior to the Ten (10) business day notification period.
- Failure to send software via an independent carrier.
- Failure to replace revoked software within specified time frame set by the ITL.
- Delivery of an EGD or software without notification provided to the SCPGC.
- Delivery of a table games equipment or software without notification provided to the SCPGC.
- Delivery vehicle missing seal or tampered with as result of vendor negligence.
- Contents of delivery vehicle do not match shipping notification provided to SCPGC.
- Logic compartment seal tampered with or broken by vendor technicians without the presence and approval of the SCPGC.
- Failure by the vendor technicians to setup a gaming device, including controllers and/ or progressive features in accordance with casino and SCPGC documentation and requirements.
- Any other violation that the SCPGC deems as an unsuitable method of operation.

In accordance with SCPGC Gaming Regulations Section 3.1, any violation of these written policies and procedural requirements, the EGD vendor (or respective employee) is subject to any disciplinary action imposed by the SCPGC.

Attest:



Executive Director or Chairperson
Santa Clara Pueblo Gaming Commission