

Louisiana Gaming, Gaming Control Board

<p style="text-align:center">Title 42 LOUISIANA GAMING Part III. Gaming Control Board Chapter 1. General Provisions</p> <p>§101. Definitions <i>Board</i>-the Louisiana Gaming Control Board. <i>Chairman</i>-the Chairman of the Louisiana Gaming Control Board. <i>Department</i>-the Department of Public Safety, Office of State Police. AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 22:1140 (November 1996).</p> <p>§102. Issuance and Renewal of Licenses by the Department A. The Department is authorized to issue to qualified applicants, non-key gaming employee permits and nongaming vendors' licenses, and to renew licenses for the operation of video draw poker devices at facilities with no more than three video draw poker devices at their licensed establishment. The Department is authorized to determine the applicants' qualifications in accordance with law, including but not limited to the provisions of the Louisiana Riverboat Economic Development and Gaming Control Act, R.S. 27:41 et seq., the Video Draw Poker Devices Control Law, R.S. 27:301 et seq., the Louisiana Economic Development and Gaming Corporation Act, R.S. 27:201 et seq., and rules promulgated in accordance therewith, when such provisions and rules are not in conflict with any provisions of the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq., and rules promulgated in accordance therewith. AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 22:1140 (November 1996).</p> <p>§103. Hearings on Rule 102 Disputes A. Any person required to be licensed or permitted by the Department by authority of the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq., and whose license or permit, or the renewal thereof, has been denied by the Department, may request a hearing by the Board by filing a written request with the Board. The request must be filed within 10 days of receipt of the certified mailing of the denial, or where the notice of denial has been personally served by the department, 10 days from service of the notice.</p>	<p>B.1. A hearing will be conducted in accordance with procedural and evidentiary rules contained in the Administrative Procedure Act, R.S. 49:950 et seq., and the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq., and rules promulgated in accordance therewith.</p> <p>2. No discovery request shall be made within 20 days of the date scheduled for the hearing.</p> <p>C. The Board may reverse or modify an action if it finds that the action of the Department, under facts determined by the Board, was contrary to any provisions of the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq., or was contrary to the Louisiana Riverboat Economic Development and Gaming Control Act, R.S. 27:41 et seq., the Video Draw Poker Devices Control Law, R.S. 27:301 et seq., or the Louisiana Economic Development and Gaming Corporation Act, R.S. 27:201 et seq., and any rules promulgated in accordance therewith, when such laws and rules are not in conflict with the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq. AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 22:1140 (November 1996).</p> <p>§104. Delegation to Chairman A. The Chairman is authorized to exercise all powers and authority of the Board except that the Chairman shall not:</p> <ol style="list-style-type: none">1. Enter into contracts in excess of \$100,000;2. Adopt rules;3. Enter into the casino operating contract on behalf of the Louisiana Gaming Control Board, provided however that the casino operating contract shall be executed on behalf of the Louisiana Gaming Control Board by the Chairman or a designated representative when the casino operating contract is approved by the Louisiana Gaming Control Board and the Chairman or a designated representative is specifically ordered by Board resolution to execute the casino operating contract on behalf of the Louisiana Gaming Control Board;4. Issue a riverboat gaming operator license, provided that the Chairman may determine that conditions imposed on a conditionally licensed riverboat gaming operator have been met;5. Approve changes of the berth or design specifications of a riverboat; or
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6. Approve transfers of ownership interests in a riverboat gaming operator licensee, the casino gaming operator, or a qualified video poker truck stop facility.

B. Any decision, order, or ruling of the Chairman exercised pursuant to the provisions of this rule shall be subject to veto as provided by the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15, R.S. 27:24 and R.S. 27:220.

HISTORICAL NOTE: Promulgated by the Louisiana Gaming Control Board, LR 22:1140 (November 1996), amended LR 25:80 (January 1999).

§105. Civil Penalties

A. The Department is authorized to take enforcement action by imposing civil penalties against any entity that has a license, permit or casino contract, for violation of the provisions of the Louisiana Riverboat Economic Development and Gaming Control Act, R.S. 27:41 et seq., the Video Draw Poker Devices Control Law, R.S. 27:301 et seq., the Louisiana Economic Development and Gaming Corporation Act, R.S. 27:201 et seq., or rules promulgated in accordance therewith, provided that such provisions and rules are not in conflict with any provisions of the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq., and rules promulgated in accordance therewith.

B. In imposing civil penalties, the Department shall issue a citation which will specify the violation. The citation shall provide for the payment of a civil penalty to the Department in accordance with a schedule which will be approved by the Board and which will be furnished to licensees, permittees or a casino operator on request. The penalty shall be paid within 10 days of the issuance of the citation unless within that period the person to whom the citation is issued files a written request for a hearing with the Board.

C. The Department may institute an administrative action with the Board based upon the noncompliance of the licensee, permittee or casino contractor with an enforcement action, or based upon a pattern of violations requiring enforcement action. Such administrative action may result in the suspension or revocation of a license or permit or such other penalty as the Board may deem appropriate.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 22:1138 (November 1996).

§106. Persons Furnishing Significant Services

A. For purposes of R.S. 27:81.A, a person who furnishes significant services which are material and integral to the operation of a licensed riverboat shall include but not be limited to:

1. Any individual, corporation, firm, partnership, or other legal entity that furnishes, by contract or otherwise, marine operations services and **personnel to licensed riverboat operators;**

2. Masters and/or pilots and chief mates and/or first mates of riverboats whether employees or contract personnel who have authority to certify reports regarding cruising schedules and are authorized to operate the vessel for cruises.

B. Any person defined in Subsection A, shall submit an application to the Board and be issued a permit by the Board prior to furnishing services to any licensed riverboat operator. This rule applies to all marine operations regardless of any permit held.

C. All persons defined in Subsection A, furnishing services to a licensed riverboat operator prior to August 6, 1996, may continue to furnish services until their application has been finally acted upon by the Board.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 22:1138 (November 1996).

§107. Standards of Conduct and Ethical Rules

A.1. No Board member or employee shall engage in gaming activities in any establishment under the jurisdiction of the Board, except as required in the course of his duties.

2. No Board member or employee shall solicit or accept employment from a casino operator or from any licensee or permittee, or any holding, intermediary, or subsidiary company of an operator, a licensee, or a permittee, for a period of five years after termination of service on the Board or employment by the Board.

3. No immediate family member of a Board member shall be employed by the casino operator, any licensee or a permittee, or any holding, intermediary, or subsidiary company of an operator, a licensee, or a permittee.

4. No Board member or Board employee nor a member of the immediate family of any Board member or employee shall acquire a future direct or indirect pecuniary interest in the gaming casino operator or any other gaming licensee or permittee, or a holding, intermediary, or subsidiary company of an operator, a licensee, or a permittee, during the term of office or employment of the member or employee.

5. No Board member or Board employee shall attempt to affect the result of an election or a nomination for an office; directly or indirectly coerce, attempt to coerce, command, or advise a person to pay, lend, or contribute any thing of value to a political party, a committee, an organization, an agency, or a person for political purposes; or take part in a political campaign or the management of a political campaign.

6.a. No member or Board employee nor a member of the immediate family of a Board member or Board employee shall make a contribution or loan to, or expenditure on behalf of, a Candidate or committee.

b. No casino operator or any other licensee or permittee shall make a contribution or loan to, or expenditure on behalf of, a Candidate or **committee.**

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7.a. No Board member or Board employee shall represent the interests of any individual or entity, other than the Board's interests, before the Board for a period of five years following the date of termination of the person's term or employment with the Board.

b. A consultant or person under contract for services to the Board may not represent the interests of any individual or entity, other than the Board's interests, before the Board nor may such consultant or person under contract for services act as a consultant to or for or have a contract for service with the casino operator or any other licensee or permittee, or any holding, intermediary, or subsidiary company of an operator, licensee, or permittee, during the term of any agreement with the Board.

8. No Board member or Board employee during service on or employment by the Board or thereafter shall reveal information which is confidential, as provided in R.S. 27:21, except as is permitted in that Section.

9. A Board member should not permit private or ex parte interviews, arguments or communications designed to influence his or her action with reference to any matter before the Board.

10. A Board member should not accept in any matter before the Board, documents or written communications intended or calculated to influence his or her action unless the contents are promptly made known to all parties.

B.1. Violations by a Board member or any immediate family member of a Board member of any ethical rule adopted by the Board or provided by law shall be cause for removal of the Board member.

2. Violations by a Board employee of any ethical rule adopted by the Board or provided by law may be sanctioned by the Board by suspension, demotion, or termination from employment, or some lesser sanction as determined appropriate by the Board after receiving a report from a Board hearing officer, if a hearing is requested by the employee, subject to applicable civil service laws and regulations.

3. Violations of any ethical rule after termination of Board service or employment shall be punishable by the imposition of a fine not to exceed \$10,000, as determined by a hearing officer pursuant to R.S. 27:25.D.

C. As used in this rule, and for the purposes of R.S. 27:13, *Licensee* or *Permittee* shall mean any person who holds a license or permit issued pursuant to the provisions of the Louisiana Riverboat Economic Development and Gaming Control Act, R.S. 27:41 et seq., the Louisiana Economic Development and Gaming Corporation Act, R.S. 27:201 et seq., the Video Draw Poker Device Control Law, R.S. 27:301 et seq., or the Louisiana Gaming Control Law, R.S. 27:1 et seq., specifically including, but not limited to, manufacturers, distributors, suppliers, vendors, device owners, service entities, persons furnishing services or goods material and integral to the operation of a riverboat, gaming employees, key employees, non-key employees, equity owners, contractors, and all establishments regardless of

the number of gaming devices in operation at the facility.
AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 22:1139 (November 1996).

§108. Board Hearings

A. Any person against whom an administrative action is proposed, and any person against whom an enforcement action is taken, may request a hearing by filing a written request with the Board. The request shall be filed within 10 days of the date of receipt of the certified mailing or personal service of the notice of proposed action or within 10 days of the date the enforcement action is taken. All hearings requested and any matter the Board determines should be heard in a public hearing shall be conducted in accordance with this Section.

B.1. A hearing will be conducted in accordance with procedural and evidentiary rules contained in the Administrative Procedure Act, R.S. 49:950 et seq., and the Louisiana Gaming Control Law, 1996 Acts, First Extraordinary Session, Number 7, enacting R.S. 27:1 et seq., and rules promulgated in accordance therewith.

2. No discovery request shall be made within 20 days of the date scheduled for the hearing.

3. Hearings may be conducted by hearing officers employed by or under contract with the Board.

C.1. Hearing requests shall be promptly docketed and scheduled for hearing.

2. The requesting party shall be notified of the time, date and location of the hearing by certified mail or personal service.

D.1. Testimony taken at a hearing shall be under oath.

2. Depositions may be used at hearings as provided in the Administrative Procedure Act, R.S. 49:950 et seq.

E. A copy of the hearing officer's decision shall be mailed to all parties within two business days of the date the decision is rendered.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 23:77 (January 1997), amended LR 24:2129 (November 1998).

§109. Record Preparation Fees

A. Any person requesting a hearing, or to whom a hearing is being afforded, pursuant to the provisions of §§103 and 108 or otherwise pursuant to the provisions of the Louisiana Gaming Control Law, R.S. 27:1 et seq., the Louisiana Riverboat Economic Development and Gaming Control Act, R.S. 27:41 et seq., the Video Draw Poker Devices Control Law, R.S. 27:301 et seq., the Louisiana Economic Development and Gaming Corporation Act, R.S. 27:201 et seq., and rules promulgated in accordance therewith, shall be assessed and pay a fee based upon costs of preparing the administrative record and transcript for submission to the Board or the 19th Judicial District Court.

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B.1. No less than 10 days prior to the date scheduled for the administrative hearing, the party shall deposit with the Board the sum of \$100 as prepayment of the costs of preparing the administrative record and transcript.

2. Failure to timely pay the \$100 deposit may result in dismissal of the hearing (with prejudice).

C.1. After the hearing has been conducted, the actual costs of preparing the administrative record and transcript will be determined by the Board and the party will be notified of such actual costs.

2. In the event actual costs are less than \$100, a refund will be made to the party.

3. Actual costs in excess of \$100 shall be assessed against the party, who shall pay the excess costs within 10 days of the date of receipt of the notice of assessment.

4. Failure to timely pay the excess costs assessed may result in dismissal of the hearing, and shall prevent the record and transcript from being transmitted to the Board or 19th Judicial District Court.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 23:304 (March 1997).

§110. Quarterly Submissions

A. Commencing with the issuance of any riverboat gaming operator license, the licensee shall submit on a quarterly basis to the Board a statement of compliance with the applicant or licensee's previously submitted application or economic development plan as to those aspects of the plan, which are then underway.

B. The licensee will certify quarterly under oath that a good faith effort to meet the voluntary procurement and employment conditions is being made, and shall quarterly demonstrate to the Board that an effort was made to meet the conditions. The quarterly statement shall be forwarded to the Board no later than 20 days after the end of each quarter.

C. Each licensee authorized to conduct slot machine gaming at an eligible facility pursuant to the provisions of Chapter 7 of the Louisiana Gaming Control Law shall submit to the Board on a quarterly basis a statement of compliance with the provisions of R.S. 27:363(C) and shall certify under oath that a good faith effort to comply with the provisions of R.S. 27:363(C) is being made. The quarterly statement shall be forwarded to the Board no later than 20 days after the end of each quarter.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 23:304 (March 1997), amended LR 30:1703 (August 2004).

§111. Delivery of Documents

A. All new applications, renewal applications, notices and any other written communication or documentation required to be furnished to the Board or the division, by any statutory provision, regulation or rule, shall be submitted via delivery by the United States Postal Service, or a private or commercial interstate carrier.

B. Documentation delivered by any means other than as provided in §111.A shall not be accepted.

C. Upon written request, the provisions of §111 may be waived by the Chairman in writing and upon a showing of good cause.

D. Section 111 shall not apply to gaming employee permit applications.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 23:1321 (October 1997).

§112. Petition for Agency Review of Rule

A. All petitions for agency review made pursuant to R.S. 49:953(C) shall be in writing and shall contain the following information:

1. A copy of the rule change proposed, whether for adoption, amendment, or repeal;

2. A statement of the proposed action requested, whether the rule change is proposed for adoption, amendment, or repeal; a brief summary of the content of the rule change proposed if for adoption or repeal; and a brief summary of the change in the rule if proposed for amendment;

3. The specific citation of the enabling legislation purporting to authorize the adoption, amending, or repeal of the rule;

4. A statement of the circumstances, which require adoption, amending, or repeal of the rule.

B. Petitions for agency review shall be submitted in writing to the Gaming Control Board at its office in Baton Rouge.

C. The petition shall be considered at a scheduled meeting of the Gaming Control Board.

D. The decision of the Board relative to recommendations for rule changes in accordance with §112 may be made in any lawful manner.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 23:1322 (October 1997).

§115. Appeals to the Board

A. Appeals to the Board from a decision of a hearing officer shall be decided by the Board. The appeal shall be decided on the record by a majority of a quorum of the Board or a majority of a panel of three members of the Board.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

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HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 24:695 (April 1998).

§116. Petition for Declaratory Orders and Rulings, Statutes and Rules

A. Any interested person may file a petition for a declaratory order or ruling as to the applicability of any statutory provision or as to the applicability or validity of any rule or order of the Board.

B. Petitions referred to in §116.A shall be in writing and filed with the Board at its office in Baton Rouge.

C. Petitions filed with the Board in accordance with §116 shall be disposed of promptly.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:1 et seq.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 24:695 (April 1998).

§117. Donations to Public Schools

A. The term *licensee* as used in this Section shall include all persons licensed pursuant to the provisions of the Gaming Control Law, R.S. 27:1 et seq., but shall not include establishments licensed to conduct video draw poker gaming operations as a restaurant, bar, lounge, hotel or motel. The term *permittee* as used in this Section shall include all persons permitted pursuant to the provisions of the Gaming Control Law, R.S. 27:1 et seq. but shall not include gaming employees or nongaming vendors.

B. No casino gaming operator, licensee or permittee shall offer to make donations or contributions to public, private or parochial elementary schools or youth groups without solicitation of the donation by the public, private or parochial elementary school or youth group.

C. No educational aid, clothing, recreational or amusement item or other article donated or otherwise provided by a casino gaming operator, licensee or permittee to any public, private or parochial elementary or secondary school shall contain a logo, symbol or language related to gaming or gambling or which bears the actual or commonly known name of the casino gaming operator, licensee or permittee.

D. No donations or contributions shall be made by a casino gaming operator, licensee or permittee to:

1. A public elementary or secondary school without prior written notification by the proposed donee or recipient to the school board having jurisdiction over the proposed donee or recipient;

2. A private or parochial elementary or secondary school without prior written notification by the proposed donee or recipient to the governing body of the proposed donee or recipient.

E. All donations and contributions made as provided in Subsection D shall be in compliance with all applicable school board or school governing body rules, regulations and policies concerning donations and contributions.

F. All donations or contributions made in conjunction with an "Adopt A School Program" shall be conducted in accordance and in compliance with all applicable school board or school governing body rules, regulations and policies concerning such programs, and other rules, regulations and policies concerning donations and contributions.

G. Failure of a casino gaming operator, licensee or permittee to comply with Subsections B through D or with the school board or school governing body rules, regulations or policies as provided in Subsections E and F shall constitute a violation of these rules and subject the casino gaming operator, licensee or permittee to administrative action including but not limited to revocation, suspension or civil penalty.

H. A copy of this rule shall be provided to all school board and school governing bodies.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24.

HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 25:2256 (November 1999).

§118. Programs to Address Problem Gambling

A. As used in this Section *licensee* means each person who is licensed or otherwise authorized to conduct gaming operations.

B. Each licensee shall post or provide in conspicuous places in or near gaming areas and areas where cash or credit is made available to patrons including cash dispensing machines written materials concerning the nature and symptoms of problem gambling and the toll-free telephone number of the Louisiana Problem Gambling Hot Line or similar entity approved by the Board.

C. All licensees other than video draw poker establishments shall implement procedures and training for all employees who directly interact with gaming patrons in gaming areas. Such training shall, at a minimum, consist of information concerning the nature and symptoms of problem gambling behavior and assisting patrons in obtaining information about problem gambling programs. This Subsection shall not be construed to require employees of licensees to identify problem gamblers. Each licensee shall designate personnel responsible for maintaining the program and addressing the types and frequency of such training and procedures. Training programs conducted or certified by the Office of Alcohol and Drug Abuse are presumed to provide adequate training for the period certified.

D. Licensed video draw poker establishments shall comply with procedures and training requirements developed by the division and approved by the Board.

E. Each licensee that engages in the issuance of credit, check cashing, or the direct mail marketing of gaming opportunities, shall implement a program containing the elements described below, as appropriate, that allows patrons to self-limit their access to the issuance of credit, check cashing, or direct mail marketing by that licensee. As appropriate, such program shall contain, at a minimum, the following:

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<p>1. The development of written materials for dissemination to patrons explaining the program;</p> <p>2. The development of written materials for dissemination to patrons explaining the excluded persons provisions of R.S. 27:1 et seq. and the administrative rules of the Board;</p> <p>3. The development of written forms allowing patrons to participate in the program;</p> <p>4. Standards and procedures that allow a patron to be prohibited from access to check cashing, the issuance of credit, and the participation in direct mail marketing of gaming opportunities;</p> <p>5. Standards and procedures that allow a patron to be removed from the licensee's direct mailing and other direct marketing regarding gaming opportunities at that licensee's location; and</p> <p>6. Procedures and forms requiring the patron to notify a designated office of the licensee within 10 days of the patron's receipt of any financial gaming privilege, material or promotion covered by the program.</p> <p>F. The Chairman may request that any licensee submit any of the elements of the licensee's program described in Subsections B, C, and E to the Board for review. If the Board makes an administrative determination that the licensee's program does not adequately address the standards as set forth in Subsections B, C and E above, then the Board may issue such a determination identifying the deficiencies and specifying a time certain within which such deficiencies must be corrected.</p> <p>G. Failure by the licensee to establish the programs set forth in Subsections C and E, to comply with the procedures and training requirements established under Subsection D, or to cure a deficiency identified pursuant to Subsection F, shall constitute a violation of these rules, and may result in administrative action including but not limited to revocation, suspension or civil penalty. <small>AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 25:2256 (November 1999).</small></p> <p>§119. Reciprocity</p> <p>A. Any person licensed or permitted pursuant to the provisions of Chapters 4, 5, 6, or 7 of Title 27 of the Revised Statutes which seeks to apply for and be licensed or permitted to manufacture, repair or sell slot machines, gaming devices, gaming supplies or nongaming supplies or to provide services pursuant to another Chapter of Title 27 shall:</p> <p>1. Meet all statutory requirements of the Chapter for which an application or authorization to conduct business is sought, all general rules of the Board and all rules and regulations applicable to the new gaming activity;</p> <p>2. Be in good standing with the Board, the gaming enforcement section of the Louisiana State Police and the division with responsibility relative to regulation of the gaming activity for which the licensee or permittee is licensed or permitted to engage in. Good standing for the purposes of this Section shall mean that:</p>	<p>a. The licensee or permittee has no administrative or enforcement actions pending relative to the respective license or permit;</p> <p>b. There are no pending or ongoing investigations of possible violations by the licensee or permittee;</p> <p>c. The licensee or permittee has filed a complete application and provided any and all information required to be furnished by statute, rule or regulation or which has been requested to be provided by the Board or the respective division;</p> <p>3. Any administrative or enforcement action, other than assessment of a civil penalty, instituted against a licensee or permittee shall apply to and be given reciprocal effect to all licenses, permits or other authorizations to conduct business held by such licensee or permittee. <small>AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 26:339 (February 2000).</small></p> <p>§120. Application and Reporting Forms</p> <p>A. All applicants, licensees, permittees, and persons required to be found suitable shall utilize and complete, as applicable, the most recent version of the following forms.</p> <p>1. Riverboat</p> <p>a. Level I, Part A, Suitability Gaming Application, DPSSP 6616, including, but not limited to:</p> <ol style="list-style-type: none"> i. Instructions; ii. Application for Gaming License or Suitability Approval Application, Business Entity Form; iii. Applicant Information; iv. Ownership Interest; v. General Information; vi. Records/Books Information; vii. Professional Services Information; viii. Gaming Information (Miscellaneous); ix. General Applicant Information; x. Financial Disclosure Information; xi. Affidavit of Full Disclosure; xii. Applicant's Request to Release Information; xiii. Verification; xiv. Release of All Claims; xv. Business Tax Information Authorization Request; xvi. Federal Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;
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<p>xvii. Federal Internal Revenue Service Gaming Tax Clearance Certificate;</p> <p>xviii. State Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;</p> <p>xix. Louisiana Department of Revenue and Taxation Tax Clearance Certificate.</p> <p>b. Level I, Part B, Personal History and Financial Record Suitability Gaming Application, DPSSP 6617, including, but not limited to:</p> <p>i. Instructions;</p> <p>ii. Personal History and Financial Record Suitability Gaming Application;</p> <p>iii. Personal Information;</p> <p>iv. Criminal History Information;</p> <p>v. Civil Litigation Information;</p> <p>vi. Military Service Data Information;</p> <p>vii. Employment History Information;</p> <p>viii. Professional Licenses, etc., Information;</p> <p>ix. Business Associations Information;</p> <p>x. Financial Information;</p> <p>xi. General Information;</p> <p>xii. Supplemental Page Information;</p> <p>xiii. Verification;</p> <p>xiv. Affidavit of Full Disclosure;</p> <p>xv. Individual's Request to Release Information;</p> <p>xvi. Release of All Claims;</p> <p>xvii. Individual Tax Information Authorization Request;</p> <p>xviii. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>xix. State Individual Consent to Disclosure of Tax Information;</p> <p>xx. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xxi. Federal Individual Consent to Disclosure of Tax Information.</p> <p>c. Level I, Parts A and B, Renewal Riverboat Gaming Application, DPSSP 6618 and 6619, including, but not limited to:</p> <p>i. Part A—Instructions;</p> <p>ii. Additional Application Information Required;</p> <p>iii. Part B—Instructions;</p> <p>iv. Definitions.</p>	<p>d. Level I, Renewal Suitability Gaming Application, Part A, DPSSP 6618, including, but not limited to:</p> <p>i. Applicant Information;</p> <p>ii. General Information;</p> <p>iii. Records/Books Information;</p> <p>iv. Professional Services Information;</p> <p>v. Gaming Interest Information;</p> <p>vi. General Information;</p> <p>vii. Financial Disclosure Information;</p> <p>viii. Affidavit of Full Disclosure;</p> <p>ix. Applicant's Request to Release Information;</p> <p>x. Verification;</p> <p>xi. Release of All Claims;</p> <p>xii. Business Tax Information Authorization Request;</p> <p>xiii. Federal Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;</p> <p>xiv. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xv. State Department of Revenue And Taxation Consent to Disclosure of Tax Information;</p> <p>xvi. Louisiana Department of Revenue and Taxation Tax Clearance Certificate.</p> <p>e. Level I, Renewal Suitability Gaming Application, Part B, Personal History and Financial Record, DPSSP 6619, including, but not limited to:</p> <p>i. Personal Information;</p> <p>ii. Criminal History Information;</p> <p>iii. Civil Litigation Information;</p> <p>iv. Employment History;</p> <p>v. Professional Licenses, etc., Information;</p> <p>vi. Business Associations Information;</p> <p>vii. Financial Information;</p> <p>viii. General Information;</p> <p>ix. Supplemental Page Information;</p> <p>x. Verification;</p> <p>xi. Affidavit of Full Disclosure;</p> <p>xii. Individual's Request to Release Information;</p> <p>xiii. Release of All Claims;</p> <p>xiv. Individual Tax Information Authorization Request;</p>
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<p>xv. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>xvi. State Individual Consent to Disclosure of Tax Information;</p> <p>xvii. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xviii. Federal Individual Consent to Disclosure of Tax Information.</p> <p>f. Casino Gaming Key Employee Permit Application, Instructions and Application, DPSSP 0074, including, but not limited to:</p> <p>i. Application for Permit;</p> <p>ii. Personal History and Financial Record;</p> <p>iii. Personal Financial Questionnaire;</p> <p>iv. Verification;</p> <p>v. Affidavit of Full Disclosure;</p> <p>vi. Release of All Claims;</p> <p>vii. Individual Tax Information Authorization Request;</p> <p>viii. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>ix. State Individual Consent to Disclosure of Tax Information;</p> <p>x. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xi. Federal Individual Consent to Disclosure of Tax Information.</p> <p>g. Key Riverboat Gaming Employee Renewal Application, DPSSP 0084, including, but not limited to:</p> <p>i. Instruction Sheet;</p> <p>ii. Application for Permit;</p> <p>iii. Affidavit of Full Disclosure;</p> <p>iv. Release of All Claims.</p> <p>h. Riverboat and Landbased Casino Non-Key Gaming Employee Permit Application, DPSSP 0075, including but not limited to:</p> <p>i. Permit Application;</p> <p>ii. Gaming Employee Applicant Conditional Approval Agreement (Non-Key Gaming);</p> <p>iii. Request to Release Information and Release of Claims by Company/Corporation/Individual.</p> <p>i. Non-Key Riverboat Gaming Employee Renewal Application, DPSSP 0065, including, but not limited to:</p> <p>i. Instruction Sheet;</p> <p>ii. Application for Permit;</p> <p>iii. Employee Gaming Permit Renewal Affidavit;</p> <p>iv. Release of All Claims.</p>	<p>j. Supplier of Significant Services (Marine Operations) Permit Application Individual Form Instructions and Application, DPSSP 0089:</p> <p>i. Instructions;</p> <p>ii. Personal Information;</p> <p>iii. Criminal History Information;</p> <p>iv. Military Service Data Information;</p> <p>v. Civil Litigation Information;</p> <p>vi. Employment History Information;</p> <p>vii. Professional Licenses, etc., Information;</p> <p>viii. Business Associations Information;</p> <p>ix. Personal Financial Questionnaire;</p> <p>x. Supplemental Page Information;</p> <p>xi. Verification;</p> <p>xii. Affidavit of Full Disclosure;</p> <p>xiii. Individual's Request to Release Information;</p> <p>xiv. Release of All Claims;</p> <p>xv. Individual Tax Information Authorization Request;</p> <p>xvi. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>xvii. State Individual Consent to Disclosure of Tax Information;</p> <p>xviii. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xix. Federal Individual Consent to Disclosure of Tax Information.</p> <p>k. Individual Marine Operation Permit Renewal Application, DSSP 0091, including, but not limited to:</p> <p>i. Instruction Sheet;</p> <p>ii. Application for Permit;</p> <p>iii. Affidavit of Full Disclosure;</p> <p>iv. Release of All Claims.</p> <p>l. Casino Gaming Non-Gaming Supplier Permit Application, DPSSP 0076, including, but not limited to:</p> <p>i. Application for Permit;</p> <p>ii. Verification;</p> <p>iii. Non-Gaming Application Request to Release Information and Release of Claims Company/Corporation/ Individual;</p> <p>iv. Business Tax Information Authorization Request;</p> <p>v. Tax Clearance Request.</p>
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<p>m. Level II, Casino Gaming Permit Application Manufacturers and Suppliers, Part A, DPSSP 0073, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instruction Page; ii. Schedule of Fees; iii. Application for Permit; iv. Statement of Assets; v. Statement of Liabilities; vi. Verification; vii. Affidavit of Full Disclosure; viii. Release of All Claims; ix. Individual Tax Information Authorization Request; x. Applicant's Request to Release Information <p>n. Level II, Casino Gaming Permit Application, Personal History and Financial Record, Part B, DPSSP 0077, including, but not limited to:</p> <ul style="list-style-type: none"> i. Personal Information; ii. Personal Financial Questionnaire; iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Individuals Request to Release Information; viii. Release of All Claims; ix. Individual Tax Information Authorization Request <p>o. Gaming Permit/License Application for Manufacturers, Suppliers/Distributors and Service Entities, DPSSP 6613, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Schedule of Fees; iii. Application for Permit; iv. Vendor Reciprocity Affidavit. <p>p. Non-Gaming Supplier Permit Application for Suppliers of Non-Gaming Goods/Services, DPSSP 6614, (In Accordance with Reciprocity Provisions of R.S. 27.91.E), including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Application for Permit; iii. Vendor Reciprocity Affidavit; iv. Request to Release Information and Release of Claims by Company/Corporation/Individual; v. Tax Clearance Request; 	<p>vi. Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;</p> <p>vii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State);</p> <p>viii. Internal Revenue Service Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal).</p> <p>q. Supplier of Significant Services (Marine Operations) Permit Application, DPSSP 0088, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Business Financial Questionnaire; iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Applicants Request to Release Information; viii. Release of All Claims; ix. Applicants Tax Information Authorization Request <p>r. Non-Gaming Supplier Renewal Application, DPSSP 0090, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Affidavit Form; iii. Request to Release Information and Release of Claims by Company/Corporation/Individual; iv. Business Tax Information Authorization Request; v. Tax Clearance Request. <p>s. Manufacturer/Supplier Renewal Application, DPSSP 0064, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Affidavit Form; iii. Request to Release Information and Release of Claims by Company/Corporation/Individual; iv. Business Tax Information Authorization Request; v. Tax Clearance Request. <p>t. Fingerprint Cards</p> <p>2. Land Based Casino</p> <p>a. Casino Gaming Key Employee Permit Application Instructions and Application, DPSSP 0074, including, but not limited to:</p> <ul style="list-style-type: none"> i. Personal History and Financial Record; ii. Personal Financial Questionnaire;
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<ul style="list-style-type: none"> iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Individual's Request to Release Information; viii. Release of All Claims; ix. Individual Tax Information Authorization Request; x. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State); xi. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal); xii. Businesses, Trusts, Estates, etc., Consent to Disclosure of Tax Information. <p style="margin-left: 20px;">b. Gaming Key Employee Permit Renewal Application Packet, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Gaming Key Employee Permit Renewal Application; iii. Gaming Permit Affidavit; iv. Request to Release Information and Release of Claims by Company/Corporation/Individual <p style="margin-left: 20px;">c. Riverboat and Landbased Casino Non-Key Gaming Employee Permit Application, DPSSP 0075, including, but not limited to:</p> <ul style="list-style-type: none"> i. Permit Application; ii. Gaming Employee Applicant Conditional Approval Agreement (Non-Key Gaming); iii. Request to Release Information and Release of Claims by Company/Corporation/Individual <p style="margin-left: 20px;">d. Gaming Non-Key Employee Permit Renewal Application, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Gaming Non-Key Employee Permit Renewal Application; iii. Request to Release Information and Release of Claims by Company/Corporation/Individual <p style="margin-left: 20px;">e. Gaming Permit/License Application for Manufacturers, Suppliers/Distributors and Service Entities (in Accordance with Reciprocity Provisions), DPSSP 6613, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Vendor Reciprocity Affidavit. 	<p>f. Level II, Casino Gaming Permit Application Manufacturers and Suppliers, Part A, DPSSP 0073, including, but not limited to:</p> <ul style="list-style-type: none"> i. Schedule of Fees; ii. Application for Permit; iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Release of All Claims; viii. Individual Tax Information Authorization Request; ix. Applicant's Request to Release Information; x. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State); xi. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal); xii. Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information. <p>g. Manufacturers and Suppliers Gaming Permit Renewal Application, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Renewal Application; iii. Gaming Permit Affidavit; iv. Request to Release Information and Release of Claims by Company/Corporation/Individual; v. Individual Tax Information Authorization Request; vi. Business Tax Information Authorization Request; vii. Tax Clearance Request. <p>h. Non-Gaming Supplier Permit Application for Suppliers of Non-Gaming Goods/Services (in Accordance with Reciprocity Provisions), DPSSP 6614, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Vendor Reciprocity Affidavit; iii. Request to Release Information and Release of Claims by Company/Corporation/Individual; iv. Tax Clearance Request; v. Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;
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<p>vi. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance (State);</p> <p>vii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance (Federal).</p> <p>i. Casino Gaming Non-Gaming Supplier Permit Application, DPSSP 0076, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Verification; iii. Non-Gaming Application Request to Release Information and Release of Claims Company/Corporation/Individual; iv. Business Tax Information Authorization Request; v. Tax Clearance Request; vi. Business, Trusts, Estates, Etc., Consent to Disclosure of Tax Information; vii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State); viii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal). <p>j. Non-Gaming Suppliers Permit Renewal Application, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Renewal Application; iii. Affidavit; iv. Non-Gaming Request to Release Information and Release of Claims by Company/Corporation/Individual; v. Business Tax Information Authorization Request; vi. Tax Clearance Request. <p>k. Level I, Suitability Gaming Application, Part A, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for License; ii. Statement of Assets; iii. Statement of Liabilities; iv. Affidavit of Full Disclosure; v. Applicant's Request to Release Information; vi. Individual Tax Information Authorization Request; vii. Verification <ul style="list-style-type: none"> l. Level II, Casino Gaming Permit Application Personal History and Financial Record Part B, DPSSP 0077, including, but not limited to: 	<ul style="list-style-type: none"> i. Personal Information; ii. Personal Financial Questionnaire; iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Individual's Request to Release Information; viii. Release of All Claims; ix. Individual Tax Information Authorization Request; x. Business, Trusts, Estates, etc., Consent to Disclose Tax Information; xi. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State); xii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal). <p>m. Land Based Casino Gaming Division, Junket or Limousine Service Casino Gaming Permit Application, DPSSP 6611, including, but not limited to:</p> <ul style="list-style-type: none"> i. Schedule of Fees; ii. Application for Permit; iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Release of All Claims; viii. Individual Tax Information Authorization Request; ix. Applicant's Request to Release Information; x. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State); xi. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal); xii. Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information. <p>n. Gaming Device Shipment Notification, including, but not limited to:</p> <ul style="list-style-type: none"> i. Gaming Device Shipment Notification, DPSSP 6501; ii. Gaming Device Shipment Notification (Supplemental), DPSSP 6502; <p>o. Finger Print Cards.</p>
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<p>3. Video Poker</p> <p>a. Video Gaming Application, DPSSP 0031;</p> <p>b. Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;</p> <p>c. Affidavit of Full Disclosure, DPSSP 0036;</p> <p>d. Request to Release Information, DPSSP 0037;</p> <p>e. Release of All Claims, DPSSP 0035;</p> <p>f. Individual Consent to Disclosure of Tax Information;</p> <p>g. Personal History Questionnaire, DPSSP 0032;</p> <p>h. Personal Financial Questionnaire, DPSSP 0033;</p> <p>i. Designated Representative/Manager Application Form, DPSSP 5403;</p> <p>j. Multiple Use Reporting Form, VGD 071498;</p> <p>k. Application for Video Poker Device Permit, DPSSP 0059;</p> <p>l. Gaming Device Ownership Transfer Notification, DPSSP 0052;</p> <p>m. Video Gaming Device Service/Repair Form, DPSSP 0040;</p> <p>n. Pari-Mutuel Wagering Facility Monthly Report, DPSSP 0046;</p> <p>o. Authorization Agreement for Pre-Authorized Payments, DPSSP 0038;</p> <p>p. Video Gaming Device Shipment Notification, DPSSP 0043;</p> <p>q. Minimum Monthly Fuel Sales Report, DPSVGD 1011;</p> <p>r. Monthly Fuel Sales Meter Reading Report, DPSVGD 1012;</p> <p>s. Renewal Application, DPSSP 0049;</p> <p>t. Renewal Affidavit/Certification, DPSSP 0051;</p> <p>u. Finger Print Cards;</p> <p>4. Live Racing Facility Slot Machine Gaming</p> <p>a. Level I, Part A, Suitability Gaming Application, DPSSP 6616, including, but not limited to:</p> <p>i. Instructions;</p> <p>ii. Application or Gaming License or Suitability Approval Application, Business Entity Form;</p> <p>iii. Applicant Information;</p> <p>iv. Ownership Interest;</p> <p>v. General Information;</p> <p>vi. Records/Books Information;</p> <p>vii. Professional Services Information;</p>	<p>viii. Gaming Information (Miscellaneous);</p> <p>ix. General Applicant Information;</p> <p>x. Financial Disclosure Information;</p> <p>xi. Affidavit of Full Disclosure;</p> <p>xii. Applicant's Request to Release Information;</p> <p>xiii. Verification;</p> <p>xiv. Release of All Claims;</p> <p>xv. Business Tax Information Authorization Request;</p> <p>xvi. Federal Business, Trusts, Estates, Etc., Consent to Disclosure of Tax Information;</p> <p>xvii. Federal Internal Revenue Service Gaming Tax Clearance Certificate;</p> <p>xviii. State Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information;</p> <p>xix. Louisiana Department of Revenue and Taxation Tax Clearance Certificate.</p> <p>b. Level I, Part B, Personal History and Financial Record Suitability Gaming Application, DPSSP 6617, including, but not limited to:</p> <p>i. Instructions;</p> <p>ii. Personal History and Financial Record Suitability Gaming Application;</p> <p>iii. Personal Information;</p> <p>iv. Criminal History Information;</p> <p>v. Civil Litigation Information;</p> <p>vi. Military Service Data Information;</p> <p>vii. Employment History Information;</p> <p>viii. Professional Licenses, etc., Information;</p> <p>ix. Business Associations Information;</p> <p>x. Financial Information;</p> <p>xi. General Information;</p> <p>xii. Supplemental Page Information;</p> <p>xiii. Verification;</p> <p>xiv. Affidavit of Full Disclosure;</p> <p>xv. Individual's Request to Release Information;</p> <p>xvi. Release of All Claims;</p> <p>xvii. Individual Tax Information Authorization Request;</p> <p>xviii. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>xix. State Individual Consent to Disclosure of Tax Information;</p>
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<p>xx. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xxi. Federal Individual Consent to Disclosure of Tax Information.</p> <p>c. Level I, Parts A and B Renewal Riverboat Gaming Application, DPSSP 6618 and 6619, including, but not limited to:</p> <p>i. Part A— Instructions;</p> <p>ii. Additional Application Information Required;</p> <p>iii. Part B— Instructions;</p> <p>iv. Definitions.</p> <p>d. Level I, Renewal Suitability Gaming Application, Part A, DPSSP 6618, including, but not limited to:</p> <p>i. Applicant Information;</p> <p>ii. General Information;</p> <p>iii. Records/Books Information;</p> <p>iv. Professional Services Information;</p> <p>v. Gaming Interest Information;</p> <p>vi. General Information;</p> <p>vii. Financial Disclosure Information;</p> <p>viii. Affidavit of Full Disclosure;</p> <p>ix. Applicant's Request to Release Information;</p> <p>x. Verification;</p> <p>xi. Release of All Claims;</p> <p>xii. Business Tax Information Authorization Request;</p> <p>xiii. Federal Business, Trusts, Estates, Etc., Consent to Disclosure of Tax Information;</p> <p>xiv. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xv. State Department of Revenue and Taxation Consent to Disclosure of Tax Information;</p> <p>xvi. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>e. Level I, Renewal Suitability Gaming Application, Part B, Personal History and Financial Record, DPSSP 6619, including, but not limited to:</p> <p>i. Personal Information;</p> <p>ii. Criminal History Information;</p> <p>iii. Civil Litigation Information;</p> <p>iv. Employment History;</p> <p>v. Professional Licenses, etc., Information;</p> <p>vi. Business Associations Information;</p> <p>vii. Financial Information;</p>	<p>viii. General Information;</p> <p>ix. Supplemental Page Information;</p> <p>x. Verification;</p> <p>xi. Affidavit of Full Disclosure;</p> <p>xii. Individual's Request to Release Information;</p> <p>xiii. Release of All Claims;</p> <p>xiv. Individual Tax Information Authorization Request;</p> <p>xv. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>xvi. State Individual Consent to Disclosure of Tax Information;</p> <p>xvii. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xviii. Federal Individual Consent to Disclosure of Tax Information.</p> <p>f. Key Riverboat Gaming Employee Permit Application, DPSSP 0074, including, but not limited to:</p> <p>i. Application for Permit;</p> <p>ii. Personal History and Financial Record;</p> <p>iii. Personal Financial Questionnaire;</p> <p>iv. Verification;</p> <p>v. Affidavit of Full Disclosure;</p> <p>vi. Release of All Claims;</p> <p>vii. Individual Tax Information Authorization Request;</p> <p>viii. Louisiana Department of Revenue and Taxation Tax Clearance Certificate;</p> <p>ix. State Individual Consent to Disclosure of Tax Information;</p> <p>x. Federal Internal Revenue Service Tax Clearance Certificate;</p> <p>xi. Federal Individual Consent to Disclosure of Tax Information.</p> <p>g. Key Riverboat Gaming Employee Renewal Application, DPSSP 0084, including but not limited to:</p> <p>i. Instruction Sheet;</p> <p>ii. Application for Permit;</p> <p>iii. Affidavit of Full Disclosure;</p> <p>iv. Release of All Claims.</p> <p>h. Riverboat and Landbased Casino Non-Key Gaming Employee Permit Application, DPSSP 0075, including but not limited to:</p> <p>i. Permit Application;</p> <p>ii. Gaming Employee Applicant Conditional Approval Agreement (Non-Key Gaming);</p> <p>iii. Request to Release Information and Release of Claims by Company/Corporation/Individual.</p>
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<p>i. Non-Key Riverboat Gaming Employee Renewal Application, DPSSP 0065, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instruction Sheet; ii. Application for Permit; iii. Employee Gaming Permit Renewal Affidavit; iv. Release of All Claims. <p>j. Casino Gaming Non-Gaming Supplier Permit Application, DPSSP 0076, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Verification; iii. Non-Gaming Application Request to Release Information and Release of Claims Company/Corporation/ Individual; iv. Business Tax Information Authorization Request; v. Tax Clearance Request. <p>k. Casino Gaming Permit Application, Manufacturer and Suppliers, Part A, DPSSP 0073, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instruction Page; ii. Schedule of Fees; iii. Application for Permit; iv. Statement of Assets; v. Statement of Liabilities; vi. Verification; vii. Affidavit of Full Disclosure; viii. Release of All Claims; ix. Individual Tax Information Authorization Request; x. Applicants Request to Release Information. <p>l. Level II, Casino Gaming Permit Application, Personal History and Financial Record, Part B, DPSSP 0077, including, but not limited to:</p> <ul style="list-style-type: none"> i. Personal Information; ii. Personal Financial Questionnaire; iii. Statement of Assets; iv. Statement of Liabilities; v. Verification; vi. Affidavit of Full Disclosure; vii. Individual's Request to Release Information; viii. Release of All Claims; ix. Individual Tax Information Authorization Request. 	<p>m. Gaming Permit/License Application for Manufacturers, Suppliers/Distributors and Service Entities, DPSSP 6613, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Schedule of Fees; iii. Application for Permit; iv. Vendor Reciprocity Affidavit. <p>n. Non-Gaming Supplier Permit Application for Suppliers of Non-Gaming Goods/Services, DPSSP 6614, including, but not limited to:</p> <ul style="list-style-type: none"> i. Instructions; ii. Application for Permit; iii. Vendor Reciprocity Affidavit; iv. Request to Release Information and Release of Claims by Company/Corporation/Individual; v. Tax Clearance Request; vi. Business, Trusts, Estates, etc., Consent to Disclosure of Tax Information; vii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State); viii. Internal Revenue Service Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal). <p>o. Non-Gaming Supplier Renewal Application, DPSSP 0090, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Affidavit Form; iii. Request to Release Information and Release of Claims by Company/Corporation/Individual; iv. Business Tax Information Authorization Request; v. Tax Clearance Request. <p>p. Manufacturer/Supplier Renewal Application, DPSSP 0064, including, but not limited to:</p> <ul style="list-style-type: none"> i. Application for Permit; ii. Affidavit Form; iii. Request to Release Information and Release of Claims by Company/Corporation/Individual; iv. Business Tax Information Authorization Request; v. Tax Clearance Request. <p>q. Finger Print Cards</p> <p>5. Reciprocity</p> <p>a. Gaming Permit License Application for Manufactures, Suppliers/Distributors and Service Entities, DPSSP 6613, including but not limited to:</p>
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<p>i. Application for Permit;</p> <p>ii. Vendor Reciprocity Affidavit.</p> <p>b. Non-Gaming Supplier Permit Application for Suppliers of Non-Gaming Goods/Services, DPSSP 6614, including but not limited to:</p> <p>i. Application for Permit;</p> <p>ii. Vendor Reciprocity Affidavit;</p> <p>iii. Request to Release Information and Release of Claims by Company/Corporation/Individual;</p> <p>iv. Tax Clearance Request;</p> <p>v. Business, Trusts, Estates, etc.;</p> <p>vi. Consent to Disclosure of Tax Information;</p> <p>vii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (State);</p> <p>viii. Louisiana Department of Revenue and Taxation Land Based Casino and Riverboat Gaming Tax Clearance Certificate (Federal).</p> <p>B. All applicants, licensees, permittees and persons required to be found suitable shall fully comply with all instructions contained in the prescribed forms and shall provide all documentation and information requested therein.</p> <p>C. Any revisions, additions, or other modifications to the prescribed forms shall be made upon recommendation of the respective division and approval of the Board. <small>AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24. <small>HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR. 26:340 (February 2000).</small></small></p> <p style="text-align: center;">Chapter 2. Electronic Cards</p> <p>§201. General Credit Provisions</p> <p>A. No casino operator, casino manager or licensee, either directly or through any bank, financial institution, credit card company or similar entity, shall issue electronic cards or smart cards that have the capability of allowing patrons to access any line of credit or account, debit an account, or obtain credit through a credit agreement or otherwise allow any patron to incur debt in any manner not provided in the respective casino operator's, casino manager's or licensee's internal controls as approved by the division.</p> <p>B. All electronic cards or smart cards issued by the casino operator, casino manager or any licensee for the purpose of wagering shall be prepaid with a fixed dollar amount that shall not be susceptible of being increased by patrons without purchasing additional value in a manner consistent with the respective casino operator's, casino manager's or licensee's internal controls as approved by the division.</p>	<p>C. Electronic cards or smart cards issued by the casino operator, casino manager or any licensee shall be used only for wagering at the respective casino operator's, or licensee's property. <small>AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24. <small>HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 28:855 (April 2002).</small></small></p> <p style="text-align: center;">Chapter 3. Compulsive and Problem Gambling</p> <p>§301. Problem Gambling Programs</p> <p>A. As used in this Section, <i>licensee</i> shall mean all persons licensed or otherwise authorized to conduct gaming operations pursuant to the provisions of Chapters 4, 5, and 7 of the Louisiana Gaming Control Law, R.S. 27:1 et seq., including the casino operator and casino manager, but not including persons licensed pursuant to Chapter 6 of the Louisiana Gaming Control Law.</p> <p>B. The casino operator or casino manager and each licensee shall post or provide written materials concerning the nature and symptoms of problem gambling in conspicuous places within the gaming establishment in or near gaming areas and areas where cash or credit is made available to patrons, including cash dispensing machines.</p> <p>C. The casino operator or casino manager and each licensee shall post one or more signs, as approved by the division, at points of entry to casino gaming establishments to inform customers of the toll free telephone number available to provide information and referral services regarding compulsive or problem gambling. The toll free number shall be provided by the division.</p> <p>D. Failure by the casino operator or casino manager or a licensee to comply with the provisions of Subsections B or C above shall constitute violations of this Section. The penalty for violation of Subsection B or C shall be \$1,000 per day or administrative action including but not limited to suspension or revocation.</p> <p>E.1. The casino operator or casino manager and all licensees shall develop a comprehensive program for its property or properties, that address, at a minimum, the areas of concern described in R.S. 27:27.1.C which are designed to:</p> <p style="padding-left: 40px;">a. Provide procedures designed to prevent employees from willfully permitting a person identified on a Self-Exclusion List from engaging in gaming activities at the licensed establishment or facility;</p> <p style="padding-left: 40px;">b. Provide procedures to offer employee assistance programs or equivalent coverage. The procedures shall be designed to provide confidential assessment and treatment referral for gaming employees and, if covered, their dependents who may have a gambling problem;</p>
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c. Provide procedures for the development of programs to address issues of underage gambling and unattended minors at gaming facilities;

d. Provide procedures for the training of all employees that interact with gaming patrons in gaming areas to report suspected problem gamblers to supervisors who shall be trained as provided in this Paragraph. The training shall, at a minimum, consist of information concerning the nature and symptoms of compulsive and problem gambling behavior and assisting patrons in obtaining information about compulsive and problem gambling and available options for seeking assistance with such behavior;

e. Provide procedures designed to prevent serving alcohol to intoxicated gaming patrons consistent with the provisions of R.S. 26:931 et seq.;

f. Provide procedures for removing Self-Excluded Persons from the licensed establishment or facility, including, if necessary, procedures that include obtaining the assistance of the division or local law enforcement;

g. Provide procedures preventing any person identified on the Self-Exclusion List from receiving any advertisement, promotion, or other targeted mailing after ninety days of receiving notice from the Board that the person has been placed on the Self-Exclusion List;

h. Provide procedures for the distribution or posting within the gaming establishment of information that promotes public awareness about problem gambling and provides information on available services and resources to those who have a gambling problem;

i. Provide procedures for the distribution of responsible gaming materials to employees;

j. Provide procedures for the posting of local curfews or laws and prohibitions, if any, regarding underage gambling and unattended minors;

k. Provide procedures to prevent any person placed on the Self-Exclusion List from having access to credit or from receiving complimentary services, check cashing services, and other club benefits;

1. Provide procedures designed to prevent persons from gaming after having been determined to be intoxicated for the purposes of R.S. 27:27.1.C.(5).

2. The casino operator or casino manager and each licensee shall designate personnel responsible for implementing and monitoring the program.

3. In addition to the areas of concern described in R.S. 27:27.1.C, the comprehensive program shall also include a program that allows patrons to self-limit their access to functions and amenities of the gaming establishment, including but not limited to, the issuance of credit, check cashing or direct mail marketing.

F. The casino operator or casino manager and each licensee shall submit the comprehensive program to the Board for approval within one hundred twenty days from the date this rule becomes effective as required by R.S. 27:27.1.C.

G. Upon approval, the casino operator, casino manager and all casino gaming licensees shall comply with their respective comprehensive compulsive and problem gambling programs submitted to the Board.

H. Sanctions

1. Failure by any licensee, the casino operator or casino manager to comply with LAC 42:III.301.F shall constitute a violation. The penalty for violation of LAC 42:III.301.F shall be \$1,000 per day or administrative action including but not limited to suspension or revocation.

2. Failure by any licensee, the casino operator or casino manager to comply with any provision of the programs approved by the Board shall constitute a violation of LAC 42:III.301.G. The penalty shall be \$5000 for the first offense, \$10,000 for the second offense and \$20,000 for the third offense. The penalty for fourth and subsequent offenses shall be \$20,000 or administrative action including but not limited to suspension or revocation.

AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24.
HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 28:1987 (September 2002).

§303. Persons Required to be Excluded

A. Pursuant to R.S. 27:27.2, the Louisiana Gaming Control Board hereby provides for the establishment of a list of persons who are to be excluded or ejected from any room, premises, or designated gaming area of an establishment where gaming is conducted pursuant to Chapters 4, 5, and 7 of the Louisiana Gaming Control Law, R.S. 27:1 et seq.

B. Definitions. The following words and terms, when used in this Section, shall have the following meanings unless the context clearly indicates otherwise.

Board Excluded Person— any person who has been placed on the Board Exclusion List by preliminary or final order of the Board or division where applicable, and who is required to be excluded or ejected from a casino gaming establishment pursuant to the Louisiana Gaming Control Law.

Board Exclusion List— a list of names of persons who, pursuant to R.S. 27:27.2, are required to be excluded or ejected from casino gaming establishments.

Candidate— any person whose name is included in a petition to place such person on the Board Exclusion List pursuant to the Louisiana Gaming Control Law.

Career or Professional Offender— any person who, in an Occupational Manner or Context, engages in methods and activities that are deemed criminal violations or contrary to the public policy of this state for the purpose of economic gain.

Casino Gaming Establishment— any room, premises, or designated gaming area of any establishment where gaming is conducted pursuant to Chapters 4, 5, and 7 of the Louisiana Gaming Control Law.

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<p><i>Cheat</i>— any person whose act or acts in any jurisdiction would constitute any offense under R.S. 14:67.18.</p> <p><i>Occupational Manner or Context</i>— the systematic planning, administration, management, or execution of an activity for financial gain.</p> <p>C. Criteria for Exclusion</p> <p>1. The Board Exclusion List may include any person who meets any of the following criteria:</p> <p>a. A Career or Professional Offender whose presence in a casino gaming establishment would be adverse to the interests of the state of Louisiana or to authorized gaming therein;</p> <p>b. An associate of a Career or Professional Offender whose association is such that his or her presence in a casino gaming establishment would be adverse to the interests of the state of Louisiana or to authorized gaming therein;</p> <p>c. A person who has been convicted of a gaming or gambling crime or a crime related to the integrity of gaming operations;</p> <p>d. A person who has performed any act or has a notorious or unsavory reputation that would adversely affect public confidence and trust in gaming, including, but not limited to, being identified with criminal activities in published reports of various federal and state legislative and executive bodies that have inquired into criminal activities. Such bodies shall include, but not be limited to, the following:</p> <ol style="list-style-type: none"> i. California Crime Commission; ii. Chicago Crime Commission; iii. McClellan Committee (Senate Subcommittee on Investigation); iv. New York Waterfront Commission; v. Pennsylvania Crime Commission Report; vi. Senate Permanent Subcommittee on Investigations; vii. State of Colorado Organized Crime Strike Force; or viii. President's Commission on Organized Crime; <p>e. Has been named or is currently on any valid exclusion list of any other jurisdiction;</p> <p>f. Is a person whose presence in a casino gaming establishment would be adverse to the state of Louisiana or authorized gaming therein, including, but not limited to:</p> <ol style="list-style-type: none"> i. Cheats; ii. Persons whose gaming privileges, permits, licenses, or other approvals have been suspended, revoked or denied; iii. Persons who pose a threat to the safety of the patrons or employees of the casino operator or casino manager or any casino gaming licensee; 	<ol style="list-style-type: none"> iv. Persons with a documented history of conduct involving the disruption of the gaming operations in any jurisdiction; v. Persons subject to an order of a Louisiana court excluding such persons from any casino gaming establishments; or vi. Persons with pending charges for a gaming or gambling crime or a crime related to the integrity of gaming operations; <p>g. For purposes of Paragraph C.1 above:</p> <ol style="list-style-type: none"> i. A person's presence may be considered "adverse to the interest of the state of Louisiana or to authorized gaming therein" if known attributes of such person's character and background: <ol style="list-style-type: none"> (a). Are incompatible with the maintenance of public confidence and trust in the credibility, integrity and stability of licensed gaming; (b). Could reasonably be expected to impair the public perception of, and confidence in, the strict regulation of gaming activities; or (c). Would create or enhance a risk or appearance of unsuitable, unfair or illegal practices, methods or activities in the conduct of gaming or in the business or financial arrangements incidental thereto; ii. A finding that a person's presence is "adverse to the interest of the state of Louisiana or to authorized gaming therein" may be based upon, but not limited to, the following: <ol style="list-style-type: none"> (a). The nature and notoriety of the attributes of character or background of the person; (b). The history and nature of the involvement of the person with authorized gaming in Louisiana or any other jurisdiction, or with any particular licensee or licensees or any related company thereof; (c). The nature and frequency of any contacts or associations of the person with any licensee or licensees, or with any employees or agents thereof; or (d). Any other factor reasonably related to the maintenance of public confidence in the efficacy of the regulatory process and the integrity of gaming operations, the gaming industry, and its employees; iii. Race, color, creed, national origin or ancestry, sex or disability as defined in R.S. 51:2234.(11), shall not be a reason for placing the name of any person upon such list. <p>D. Duties of the Division</p> <ol style="list-style-type: none"> 1. The division shall, on its own initiative, or upon recommendation by the Board, investigate any individual who would appear to be an appropriate Candidate for placement on the Board Exclusion List. 2. If, upon completion of an investigation, the division determines that an individual should be placed on the Board Exclusion List, the division shall make a recommendation for exclusion to the Board, identifying the Candidate and setting forth the basis for which the division believes the Candidate satisfies the criteria for exclusion established by the Louisiana Gaming Control Law.
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<p>E. Notice</p> <p>1. Upon a determination by the Board that one or more of the criteria for being named on the list are satisfied, such person shall be placed on the Board Exclusion List. The Board or division shall serve notice of exclusion in the matter prescribed in R.S. 27:27.2.C. The notice shall:</p> <p style="padding-left: 40px;">a. Identify the excluded person by name, including known aliases, and last known address;</p> <p style="padding-left: 40px;">b. Specify the nature and scope of the circumstances or reasons for such person's exclusion;</p> <p style="padding-left: 40px;">c. Inform the excluded person of his right to request a hearing for review and/or removal;</p> <p style="padding-left: 40px;">d. Inform the excluded person that the failure to timely request a hearing shall result in the decision's becoming final.</p> <p>F. Contents of the Board Exclusion List</p> <p>1. The following information shall be provided for each Board Excluded Person:</p> <p style="padding-left: 40px;">a. The full name of the person and any known aliases the person is believed to have used;</p> <p style="padding-left: 40px;">b. A description of the person's physical appearance, including height, weight, build, color of hair and eyes, and any other physical or distinguishing characteristics that may assist in identifying the person;</p> <p style="padding-left: 40px;">c. The date of birth of the person;</p> <p style="padding-left: 40px;">d. The date of the notice mandating exclusion;</p> <p style="padding-left: 40px;">e. The driver's license number or state identification number of the person;</p> <p style="padding-left: 40px;">f. A photograph of the person, if available and the date taken;</p> <p style="padding-left: 40px;">g. The person's occupation and his current home and business address; and</p> <p style="padding-left: 40px;">h. Social Security number, if available;</p> <p style="padding-left: 40px;">i. The reason for exclusion.</p> <p>G. Maintenance and Distribution of the List</p> <p>1. The Board shall maintain a list of persons to be excluded or ejected from all casino gaming establishments.</p> <p>2. The list shall be open to public inspection except information pertaining to the date of birth, driver's license number, state identification number, Social Security number and current home and business address of the Board Excluded Person.</p> <p>3. The list shall be distributed by the division to the casino operator or casino manager and all casino gaming licensees.</p>	<p>4. No casino gaming licensee, the casino operator or casino manager or any employee, or agent thereof shall disclose the date of birth or current home or business address of a Board Excluded Person to anyone other than employees or agents of casino gaming licensees whose duties and functions require access to such information.</p> <p>H. Duties of the Casino Operator or Casino Manager and Casino Gaming Licensees</p> <p>1. The casino operator or casino manager, casino gaming licensees and their agents or employees shall exclude or eject the following persons from the casino gaming establishment:</p> <p style="padding-left: 40px;">a. Any Board Excluded Person; or</p> <p style="padding-left: 40px;">b. Any person known to the casino operator or casino manager or any casino gaming licensee to satisfy the criteria for exclusion in the Louisiana Gaming Control Law.</p> <p>2. If a Board Excluded Person enters, attempts to enter, or is in the casino gaming establishment and is discovered by the casino operator or casino manager or any casino gaming licensee, the casino operator or casino manager or casino gaming licensee shall immediately notify the division of such fact and, unless otherwise directed by the division, immediately eject such excluded person from the casino gaming establishment.</p> <p>3. Upon discovery of a Board Excluded Person in the casino gaming establishment, both the security and surveillance Departments of the casino operator, casino manager and casino gaming licensees shall initiate a joint investigation, unless otherwise directed by the division, to determine:</p> <p style="padding-left: 40px;">a. Responsibility of employees of the casino gaming establishment for allowing a Board Excluded Person to gain access to the casino gaming establishment; and</p> <p style="padding-left: 40px;">b. The net amount of winnings and/or losses attributable to the Board Excluded Person.</p> <p>4. The casino operator, casino manager, and each casino gaming licensee shall take reasonable steps to ensure that no winnings or losses arising as a result of prohibited casino gaming activity are paid or recovered by a Board Excluded Person.</p> <p>5. It shall be the continuing duty of the casino operator, casino manager, and each casino gaming licensee to inform the Board and division in writing of the names of persons it knows or has reason to know are appropriate for placement on the Board Exclusion List.</p> <p>I. Sanctions</p> <p>1. Any casino gaming licensee, casino operator or casino manager who willfully fails to exclude a Board Excluded Person from the casino gaming establishment shall be in violation of these rules and may be subject to administrative action pursuant to R.S. 27:27.2.F and this Section.</p> <p>2. The penalty for violation of LAC 42:III.I.1 shall be \$25,000 or administrative action including but not limited to suspension or revocation.</p>
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<p>J. Removal from the Board Exclusion List</p> <p>1. Hearing. Any person who desires to have his name removed from the Board Exclusion List shall submit a written request to the Board requesting a hearing before a hearing officer.</p> <p>2. Absent. A change in circumstances that would have affected the Board exclusion No person shall request a hearing to be removed from the Board Exclusion List for a period of five years from the date of the final decision. <small>AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 28:1988 (September 2002).</small></p> <p>§304. Self-Exclusion</p> <p>A. Pursuant to R.S. 27:27.1, the Louisiana Gaming Control Board hereby provides for the establishment of a list of persons who, at his or her request, are to be excluded or ejected from all casino gaming establishments licensed or operating pursuant to Chapters 4, 5, and 7 of the Louisiana Gaming Control Law, R.S. 27:1 et seq.</p> <p>B. Definitions</p> <p>1. The following words and terms, when used in this Section, shall have the following meanings unless the context clearly indicates otherwise.</p> <p style="padding-left: 40px;"><i>Casino Gaming Establishment</i>— any room, premises, or designated gaming area of any establishment where gaming is conducted pursuant to Chapters 4, 5, and 7 of the Louisiana Gaming Control Law.</p> <p style="padding-left: 40px;"><i>Self-Excluded Person</i>— any person whose name is included, at his or her request, on the Self-Exclusion List maintained by the Board.</p> <p style="padding-left: 40px;"><i>Self-Exclusion List</i>— a list of names of persons who have voluntarily agreed to be excluded from all gaming activities and to be prohibited from collecting any winnings or recovering any losses at all licensed casino gaming establishments.</p> <p>C. Request for Self-Exclusion</p> <p>1. Any person may have his or her name placed on the Self-Exclusion List by submitting a request for self-exclusion in the form and manner required by this Section.</p> <p>2. Any person requesting placement on the Self-Exclusion List shall submit, in person, a completed request for self-exclusion as required in Paragraph C.4 below. The request shall be delivered to an Office of State Police, Casino Gaming Division. Any person submitting a self-exclusion request shall be required to present valid identification credentials. Any person requesting self-exclusion pursuant to this Section shall be required to have his or her photograph taken by a division agent upon submission of the request.</p>	<p>3. No person placed on the Self-Exclusion List may request removal for a period of five years from the date the person is placed on the Self-Exclusion List.</p> <p>4. A request for self-exclusion shall be in a form prescribed by the Board. Such form shall include:</p> <p style="padding-left: 40px;">a. Identifying information concerning the person submitting the request for self-exclusion, as follows:</p> <p style="padding-left: 80px;">i. Name, including any known aliases or nicknames;</p> <p style="padding-left: 80px;">ii. Date of birth, driver's license or state identification number, if available;</p> <p style="padding-left: 80px;">iii. Current home and business address;</p> <p style="padding-left: 80px;">iv. Telephone number of current residence;</p> <p style="padding-left: 80px;">v. Social Security number, which information is voluntarily provided in accordance with Section 7 of the Privacy Act, 5 U.S.C. §552(a); and</p> <p style="padding-left: 80px;">vi. A physical description of the person, including height, weight, gender, hair color, eye color, and any other physical or distinguishing characteristics that may assist in the identification of the person;</p> <p style="padding-left: 80px;">vii. The date of exclusion;</p> <p style="padding-left: 40px;">b. A waiver and release which shall release, forever discharge, indemnify and hold harmless the state of Louisiana, the Louisiana Gaming Control Board ("Board"), the Louisiana Department of Public Safety and Corrections, Office of State Police ("State Police"), the Department of Justice, Office of the Attorney General ("Attorney General's Office"), all casino gaming licensees, the casino operator and casino manager and their members, agents, and employees, from any liability to the person requesting self-exclusion and his or her heirs, administrators, executors and assigns for any harm, monetary or otherwise, which may arise out of or by reason of any act or omission relating to the request for self-exclusion, request for removal from the Self-Exclusion List, or removal from the Self-Exclusion List, including:</p> <p style="padding-left: 80px;">i. Processing or enforcement of the request for self-exclusion, request for removal or removal from the Self- Exclusion List;</p> <p style="padding-left: 80px;">ii. The failure of the casino operator or casino manager or a casino gaming licensee to withhold gaming privileges from, or restore gaming privileges to, a Self-Excluded Person;</p> <p style="padding-left: 80px;">iii. Permitting a Self-Excluded Person to engage in gaming activity in a licensed casino gaming establishment while on the list of Self-Excluded Persons; and</p> <p style="padding-left: 80px;">iv. Disclosure of the information contained in the self-exclusion request or list, except for a willful unlawful disclosure of such information;</p> <p style="padding-left: 40px;">c. The following statement signed by the person submitting the request for self-exclusion:</p>
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"I understand and read the English language or have had an interpreter read and explain this form. I am voluntarily requesting exclusion from all gaming activities at all Louisiana casino gaming establishments because I am a compulsive and/or problem gambler. I certify that the information that I have provided above is true and accurate, and that I have read, understand, and agree to the waiver and release included with this request for self-exclusion. I am aware that my signature below authorizes the Board or the State Police to direct all Louisiana casino gaming licensees, including the casino operator and casino manager, to restrict my gaming activities and access to casino gaming establishments for a minimum period of five years from the date of exclusion. During such period of time, I will not attempt to enter any casino gaming establishment. I further understand that my name will remain on the Self-Exclusion List until 1) I submit a written request to the Board to terminate my self-exclusion; 2) a hearing is held; and 3) there is a written decision of the Board determining that there is no longer a basis for me to be maintained on the list. I am aware that I cannot request removal from the list before five years have elapsed from the date of exclusion. I am aware and agree that during any period of self-exclusion, I shall not collect in any manner or proceeding any winnings or recover any losses resulting from any gaming activity at any casino gaming establishment and that any money or thing of value obtained by me from, or owed to me by, the casino operator, casino manager, or a casino gaming licensee as a result of wagers made by me while on the Self-Exclusion List shall be withheld and remitted to the state of Louisiana."

d. The type of identification credentials examined containing the signature of the person requesting self-exclusion, and whether the credentials included a photograph of the person; and

e. The signature of a Board or division member, agent, or employee authorized to accept such request, indicating that the signature of the person on the request for self-exclusion appears to agree with that contained on his or her identification credentials and that any photograph or physical description of the person appears to agree with his or her actual appearance.

5. Upon receipt and acceptance of the request for self-exclusion and completion and submission of all required information and documentation the requesting party shall be placed on the Self-Exclusion List by the division.

D. Self-Exclusion List

1. The Board shall maintain a list of persons who, at his or her request, are excluded and are to be ejected from all casino gaming establishments.

2. The list shall not be open to public inspection.

3. The list shall be distributed by the division to the casino operator or casino manager and each casino gaming licensee who shall acknowledge receipt of the list in writing. The division shall notify the casino operator, casino manager and all casino gaming licensees of the addition of new names and removal of names from the Self-Exclusion List within two business days of the effective date of such action.

4. The casino operator or casino manager and each casino gaming licensee shall maintain a copy of the Self-Exclusion List and shall **establish procedures to ensure that**

the Self-Exclusion List is updated and that all appropriate members, employees and agents of the casino operator or casino manager and each casino gaming licensee are notified of any addition to or deletion from the list within five business days after receipt of the notice from the division. Appropriate members, employees, and agents of the casino operator or casino manager and each casino gaming licensee are those whose duties and functions require access to such information. The notice provided by the division shall include the name and date of birth of any person whose name shall be removed from the Self-Exclusion List and the following information concerning any person whose name shall be added to the Self-Exclusion List:

- a. Name, including any known aliases or nicknames;
- b. Date of birth;
- c. Address of current residence;
- d. Telephone number of current residence;
- e. Social Security number, if voluntarily provided by the person requesting self-exclusion;
- f. driver's license or state identification number;
- g. A physical description of the person, including height, weight, gender, hair color, eye color and any other physical or distinguishing characteristic that may assist in the identification of the person; and
- h. A copy of the photograph taken by the division.

5. Information furnished to or obtained by the Board and division pursuant to this Section shall be deemed confidential and not be disclosed pursuant to R.S. 27:27.1.

6.a. Neither the casino operator, casino manager, nor any casino gaming licensee or any employee or agent thereof shall disclose the Self-Exclusion List or the name of, or any information about, any person who has requested self-exclusion to anyone other than employees and agents of the casino operator or casino manager or casino gaming licensee whose duties and functions require access to such information. Notwithstanding the foregoing, the casino operator or casino manager and each casino licensee may disclose the name of and information about a Self-Excluded Person to appropriate employees of other casino licensees in Louisiana for the purpose of alerting other casinos that a Self-Excluded Person has tried to gamble or obtain gaming related privileges or benefits in a casino gaming establishment. Nothing herein shall be construed to prohibit the licensee from disclosing the identity of Self-Excluded Persons to affiliated entities in Louisiana and other gaming jurisdictions for the limited purpose of assisting in the proper administration of compulsive and problem gaming programs operated by such affiliated entities.

b. Administrative hearings regarding or related to Self-Excluded Persons shall be closed to the public and any record created or evidence introduced in conjunction with such hearings shall be maintained confidential and not **made available for public inspection.**

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<p>E. Duties of the Casino Operator, Casino Manager, and each Casino Gaming Licensee</p> <p>1. The casino operator or casino manager and each casino gaming licensee shall establish procedures that are designed, to the greatest extent practicable, to:</p> <p style="padding-left: 20px;">a. Permit appropriate employees of the casino operator or casino manager and the casino gaming licensee to identify a Self-Excluded Person when present in the casino gaming establishment and, upon such identification, immediately notify:</p> <p style="padding-left: 40px;">i. those employees of the casino operator or casino manager and the casino gaming licensee designated to monitor the presence of Self-Excluded Persons; and</p> <p style="padding-left: 40px;">ii. Appropriate representatives of the Board and division;</p> <p style="padding-left: 20px;">b. Refuse wagers from and deny any gaming privileges to any Self-Excluded Person;</p> <p style="padding-left: 20px;">c. Deny casino credit, check cashing privileges, player club membership, direct mail and marketing services complimentary goods and services, junket participation and other similar privileges and benefits to any Self-Excluded Person;</p> <p style="padding-left: 20px;">d. Enforce the provisions of LAC 42:III.304.D.6.</p> <p>2. The casino operator or casino manager and each casino gaming licensee shall distribute a packet of written materials approved by the division to any person inquiring or requesting information concerning the Board's self-exclusion program.</p> <p>3. The casino operator or casino manager and each casino licensee shall submit to the Board for approval a copy of its procedures established pursuant to LAC 42:III.304.D.4 and E.1 above within 120 days from the date this rule becomes effective. Any amendments to said procedures shall be submitted to the Board and approved prior to implementation.</p> <p>4. If a Self-Excluded Person enters, attempts to enter, or is in the casino gaming establishment and is discovered by the casino operator or casino manager or any casino gaming licensee, the casino operator or casino manager or casino gaming licensee shall immediately notify the division of such fact and, unless otherwise directed by the division, immediately eject such excluded person from the casino gaming establishment.</p> <p>5. Upon discovery of a Self-Excluded Person in the casino gaming establishment, both the security and surveillance Departments of the casino operator, casino manager and casino gaming licensees shall initiate a joint investigation, unless otherwise directed by the division.</p>	<p style="padding-left: 20px;">a. The joint investigation shall seek to determine:</p> <p style="padding-left: 40px;">i. Responsibility of employees of the gaming establishment for allowing an excluded person to gain access to the casino gaming establishment; and</p> <p style="padding-left: 40px;">ii. The net amount of winnings or losses attributable to the excluded person.</p> <p style="padding-left: 20px;">b. The casino operator or casino manager and each casino gaming licensee shall provide a written report of the results of the joint investigation to the division.</p> <p>6. The casino gaming establishment shall ensure that no winnings or losses arising as a result of prohibited gaming activity are paid or recovered by a Self-Excluded Person.</p> <p>F. Sanctions</p> <p>1. Any casino gaming licensee, casino operator, or casino manager who willfully fails to exclude a Self- Excluded Person from the casino gaming establishment shall be in violation of these rules and may be subject to administrative action pursuant to R.S. 27:27.1.J and this Section.</p> <p>2. The penalty for violation of LAC 42:III.304.F.1 shall be \$25,000 or administrative action including but not limited to suspension or revocation.</p> <p>G. Removal from Self-Exclusion List</p> <p>1. Any Self-Excluded Person may, upon the expiration of five years from the date of exclusion, submit a written request to the Board for a hearing to have his or her name removed from the Self-Exclusion List. Such request shall be in writing and state with specificity the reason for the request.</p> <p>2. The request shall include a written recommendation from a qualified mental health professional as to the Self- Excluded Person's capacity to participate in gaming activities without adverse risks or consequences. The person seeking removal from the Self-Exclusion List may be required to obtain a separate and independent recommendation from a qualified mental health professional, approved by the hearing officer, as to the Self-Excluded Person's capacity to participate in gaming activities without adverse risks or consequences.</p> <p>3. If the hearing officer determines that there is no longer a basis for the person seeking removal to be maintained on the Self-Exclusion List, the person's name shall be removed from the Self-Exclusion List and his or her exclusion shall be terminated. The division shall notify the casino operator or casino manager and all casino gaming licensees of the determination. The casino operator, casino Manger or any casino gaming licensee may continue to deny gaming privileges to persons who have been removed from the list.</p> <p><small>AUTHORITY NOTE: Promulgated in accordance with R.S. 27:15 and 24. HISTORICAL NOTE: Promulgated by the Department of Public Safety and Corrections, Gaming Control Board, LR 28:1990 (September 2002), amended LR 30:2493 (November 2004).</small></p>
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