

**DIVISION OF GAMING
NOTIFICATION REQUIREMENTS
Effective October 1, 2013**

Investigations Notifications	When/How to Notify	Reference	Comment
Discovery of violations		ICMP, 1, C CLGR 47.1-402	Upon discovery of <u>any</u> violation or <u>any</u> suspected violation of the statute, rules, or ICMP.
Underage Gaming or Underage Lingering	Immediate Notification Unless otherwise noted in the Comment Column, telephone call to dispatch to have investigator respond.	12-47.1-809	Any person under age 21 lingering in gaming area or participating in limited gaming. Including fraudulent/suspected fraudulent identification.
Gaming License	For casinos in Central City & Black Hawk call Dispatch at 303-582-5500	12.47.1-814	Person working in limited gaming without a license or licensed employee gaming where employed.
Maximum Bet	For casinos in Cripple Creek call Dispatch at 719-689-2655	12.47.1-816	Allowing a bet over the \$100.00 limit.
Unlawful Tips		12.47.1-820	Licensee working in a supervisory position accepting tips or licensee violating tip distribution criteria.
Fraudulent Acts		12-47.1-823	Chips, tokens, money, or credits taken from table games, slots, cashier cage or any gaming activity. Slot machines in play without Division approval.
Cheating Device for Calculating Probabilities Cheating Devices		12-47.1-822 12-47.1-824 12-47.1-826	Any device or method used to alter or cheat a limited gaming device or track cards on table games.
Unlawful Chips, Tokens, Coins or Devices		12-47.1-825	Unapproved, discontinued, and shaved chips or tokens or wrong denomination found in slot machines (\$20 or more).
Death of a Gaming Patron		47.1-214	Division determines the disposition of the deceased patron's winnings.
Visibly Intoxicated Persons		47.1-415	Patron gaming while visibly intoxicated after being warned.
Patron Disputes		47.1-417	Licensee refuses payment of winnings, unresolved dispute, or any dispute that involves \$250 or more.
Activities Which Constitute Fraud		47.1-425 ICMP, 4, L	Patrons playing in cooperation or collusion, or communication during play not understood by all patrons.

Disciplinary proceedings		47.1-502	Licensee commits or is suspected of committing any crime in a casino.
Cards (Blackjack)		47.1-806	Games dealt with improper number of cards or marked, crimped or shaved cards.
Wagers (Blackjack)		47.1-807	Wagers paid or collected incorrectly (third occurrence per shift).
Dealer's Hole Card		47.1-823	Dealer exposes or looks at hole card (first occurrence if intentional, second time if inadvertent).
Irregularities		47.1-828	Dealer or pit supervisor fail to follow procedures listed.
Blackjack Rules Violations.	<p>Immediate Notification</p> <p>Unless otherwise noted in the Comment Column, telephone call to dispatch to have investigator respond.</p> <p>For casinos in Central City & Black Hawk call Dispatch at 303-582-5500</p> <p>For casinos in Cripple Creek call Dispatch at 719-689-2655</p>	47.1-832, 833, 834, 834.2	Dealer violates rules for any blackjack game (first occurrence if intentional, second time if inadvertent).
Rules for Poker		47.1-1001	Dealer rule violation on all player and house banked games (first time if intentional, second if inadvertent).
Cards (Poker)		47.1-1007	Games dealt with improper number of cards, or marked, crimped or shaved cards.
Restrictions on Proposition Players		47.1-1048	Proposition players playing in collusion or more than three proposition player playing in a game.
Cards		47.1-1205	Cards lost or discovered in a non-secure storage location.
Slot Machine Awards		47.1-1256	Award claimed by a patron other than person making the wager (disputed).
Slot Components Secure		47.1-1257	Slot door unsecured and unauthorized entry made.
Altered Gaming Documents		47.1-1621	Altered or falsified gaming documents discovered.

Type of Notification	How	Form	Reference	Comments
General Notifications				
Upon evidence of tampering, alteration, missing or add'l playing cards	Telephone call to dispatch for investigator response	N/A	CLGR 47.1-1207	
Intent to sponsor limited gaming by a charitable organization	Written notice to Audit Section, 14 days prior to the day of the event	Contact Division for the form	ICMP, 11, K	Must receive approval from Division prior to event.
Unresolved disputed jackpot or any disputed jackpot of \$250 or more	Telephone call to dispatch for investigator response	N/A	ICMP, 4, L CLGR 47.1-417	The slot machine shall <i>not</i> be reset or altered (i.e., no further play) until a Gaming investigator has arrived

Type of Notification	How	Form	Reference	Comments
Chip/token destruction plan	Submit written destruction plan to the Division at least 10 days prior to the anticipated destruction.	N/A	ICMP, 1, I ICMP, 11, P	Must receive approval from Division prior to destruction.
Chip/token/ticket redemption plans	Submit written plan to the Division upon determination of closure.	N/A	ICMP, 1, I	Applies to closing casinos or (effective December 2013) a properly registered trade name changes.
Chip/token deviations received from manufacturer	Notify the Division's Audit Section	N/A	ICMP, 11, P	Any deviations between the invoice accompanying the chips/tokens and the actual chips/tokens received and any defects is reported to the Division.
Excessive foreign chips/tokens found in drop a period	Telephone call to dispatch for investigator response	N/A	ICMP, 11, P	Report when \$20 or more of foreign chips/tokens from closed Colorado casinos or casinos outside of Colorado are found in a drop period
Standard financial statements	Filed electronically, using CEZFS, on the 15 th of March, using the Division website	Standard Financial Statement	ICMP, 11, L CLGR 47.1-1619	Required to file for year ended December 31.
Unaudited financial statements	Call the Division's Audit Section		ICMP, 11, L CLGR 47.1-1619	Required to be submitted for license termination, change in business entity, or change in control of ownership.
Audited financial statements	Filed with Audit Section no later than 120 days after last day of business year	N/A	ICMP, 11, M CLGR 47.1-1620	Applies to licensees with annual AGP of \$10M or more for their business year.
Engagement of independent auditor	Written notice to Audit Section within 10 days of engaging Auditor	N/A	ICMP, 11, M	Independent accountant must also provide written notification to Division prior to observations.
Internal Compliance Officer designation	Written notice to Audit Section prior to opening & within 30 days of any change	N/A	ICMP, 11, N ICMP, 1, B	Does not apply to Group A licensees.
Internal compliance officer's report	Copy submitted to Audit Section 31 days after the end of the period under review	N/A	ICMP, 11, N	January - June, due 7/31 July - December, due 1/31
Alternative internal controls	Written request for variance to Audit Section	Variance Request Form	ICMP, 1, A, B, D	All alternative internal controls must be approved by the Division <i>prior</i> to implementation.
Organization chart, job descriptions & list of personnel	Written list to Division	N/A	ICMP, 1, B CLGR 47.1-404	Submit prior to opening.
Application for licensure in a foreign jurisdiction	Written notice to Division	N/A	CLGR 47.1-426	Copies of all application forms & related documents must be available upon request.

Type of Notification	How	Form	Reference	Comments
NSF jackpot checks to patrons	Written notice to local Division and within 24 hours of receiving actual notice	N/A	CLGR 47.1-1612 (2)	
Table Games, Slot and Kiosk drop and count schedule	Email written notice to Audit Section	Drop & Count Schedule	ICMP, 1, D ICMP, 8, H ICMP, 5, B, C, & D CLGR 47.1-1609	Prior to changing approved days/times. Temporary changes are subject to monthly notification.
Restricted keys taken off premises	Telephone call to dispatch for investigator response	N/A	ICMP, 10, A ICMP, 11, E	
Unusual key activity	Telephone call to dispatch for investigator response	N/A	ICMP, 10, A, E ICMP, 11, E	Includes missing restricted keys, restricted keys taken off property, and system failure that requires the AKTS to be manually accessed, etc.
Automated Key Tracking System problems	Telephone call to dispatch for investigator response	N/A	ICMP, 10, E	Any time the emergency release access is utilized the gaming manager and security must be present.
Surveillance Outage	Telephone call to dispatch for investigator response	N/A	ICMP, 13, G	All video losses, that are not a result of routine maintenance, that exceed 15 minutes for critical cameras or an hour on other required gaming cameras must be immediately reported to the Division.
Personnel tracking	Filed electronically using the Division website	Personnel Tracking	CLGR 47.1-404	Due the first day of each month.
Promotional payouts	Written notice to local Division is not required: however, suggested to ensure proper reporting	N/A		Promotional payouts are not deductible in calculating AGP.
Table Games Notifications				
Additional payouts (blackjack or house banked poker)	Written notice to Audit Section, 7 days prior to offering payout	Add'l Payout Request	ICMP, 2, D ICMP, 2, H	Must receive approval from the Division prior to offering additional payout.
Table Games drop and count schedule	Email written notice to Audit Section	Drop & Count Schedule	ICMP, 5, B ICMP, 1, B CLGR 47.1-1609	Prior to changing approved days/times. Temporary changes are subject to monthly notification.
Drop box cannot be removed from the table during the drop	Notify local Division office	N/A	ICMP, 5, B	The Division is notified for disposition if the licensee is unable to rectify the situation.
Equipment approval	Telephone call to dispatch for investigator response	N/A	ICMP, 2, I ICMP, 3, G ICMP 15	Division approves all table games gaming equipment before use.
Pit supervision plan	Written plan to Table Games Chair for approval	N/A	ICMP, 2, A ICMP, 3, A	Must receive approval from the Division.

Type of Notification	How	Form	Reference	Comments
Table games jackpot award procedures	Copy of proposed rules and procedures to local Division office	N/A	CLGR 47.1-1039 CLGR 47.1-1060 CLGR 47.1-1061	Must receive approval from the Division prior to offering jackpot award.
Difference exists in jackpot awards between poker payout form(s) & poker jackpot log	Email written notice to Audit Section by licensee's accounting staff	N/A	ICMP, 11, B	Total amounts awarded per poker payout form(s) for each patron must agree to jackpot liability as recorded on the poker jackpot log.
Table games tournament	Tournament chip discrepancies in inventory for counts prior to and subsequent to the tournament	N/A	ICMP, 2, K	Notify Investigations at local Division office when discrepancies involving chip(s) of 1000 points or greater occur.
Table games tournament	Copy of tournament rules to local Division office	N/A	CLGR 47.1-842 CLGR 47.1-1057	Provide tournament rules to local Division office at least five (5) days prior to scheduled start of tournament.
Multi-licensee table games tournament	Informational copy of tournament rules to local Division office	N/A	CLGR 47.1-1050 and CLGR 47.1-1057	Participating licensees must submit tournament rules to local Division office at least five (5) days prior to the scheduled start of tournament.
Variance > \$25 between estimated and actual progressive liability	Telephone call to local Division office	N/A	ICMP, 11, B	
Slot Machine Notifications				
Additional payouts (slots)	Written notice to Audit Section 7 days prior to offering payout	Additional Payout Request	ICMP, 4, N ICMP, 4, I	Effective dates of additional payout may not exceed six (6) months. Must receive approval from Division prior to offering additional payouts or prior to making any changes to the program.
Slot drop & count days/times	Email written notice to Audit Section	Drop & Count Schedule	ICMP, 5, C ICMP, 1, B CLGR 47.1-1609	Prior to changing approved days/times. Temporary changes are subject to monthly notification.
Emergency slot drop	Email written notice to Audit Section	N/A	ICMP, 5, C	Monthly notification requirement.
When bill validator boxes will be dropped more frequently than drop buckets	Email written notice to Audit Section	Drop & Count Schedule	ICMP, 5, C	Must prepare statistical reports for each drop conducted.
When different parts of the casino are to be dropped on different days	Email written notice to Audit Section	Drop & Count Schedule	ICMP, 5, C	Must adequately describe which areas are dropped on which days/times.
Access to count room during the count process	Notify the Division	N/A	ICMP, 5, A	Other persons such as auditors from CPA firm may access the count room upon approval from the Division.

Type of Notification	How	Form	Reference	Comments
Device movement	File electronically through the Division website	Device Removal, Device Receipt	ICMP, 4, D CLGR 47.1-405(5)	Required weekly.
Slot floor database	Send email to: dor_slot_database@state.co.us	Reference Slot Machines: Forms for Slot Data Form	ICMP, 4, A. Equipment Control/Testing Slot Database	Required to report once every thirty-day period.
Slot machines stored offsite	Notify local Division office	N/A	ICMP, 4, D	Slot machines may be stored on the casino premises or at an offsite location, as long as the Division knows the location of the machines, the storage facility is secure, and the licensee has properly reported the movement of those devices.
Three or more meter resets per machine per month	Notify the Field Operations Section of the local Division office for continuing problems	N/A	ICMP, 11, C	Consistent meter resets could be indicative of machine problems, or improper procedures to correct meter problems.
Slot tournament	Informational copy of rules to local Division office	N/A	ICMP, 4, P CLGR 47.1-1251	Submit tournament rules at least five (5) days prior to scheduled start of tournament.
Cage Notifications				
Discrepancy with bagged coin amounts	Email written notice to Audit Section	Bagged Coin/Token Verification Form	ICMP, 11, D ICMP, 11, F-5	During the quarterly verification, if the difference exceeds \$50 the Division is contacted for evaluation of test results.
Cage or kiosk overage or shortage (\$1,000 or more per shift not resolved within 7 days)	Email written notification to the Audit Section by the 5 th of the following month. Include a list of the overages/shortages along with the circumstances and results of the investigations for each case.	N/A	ICMP, 8, H ICMP, 9, L	If shortage or overage is result of illegal activity, licensee must immediately notify the Division in writing.
System Related Notifications				
Intent to use an automated system (i.e., slot, cage, pit)	Email notification form to the Division's Technology Section	System Install/Upgrade Notification Form	ICMP, 2, A ICMP, 4, G ICMP, 6, B, C, D ICMP, 8, A, G ICMP, 9, A ICMP, 16, A CLGR 47.1-1202	Submit form and other required information 30 days prior to system installation. Must also notify the Division of the first day of testing.
Intent to upgrade existing system	Email notification form to the Division's Technology Section	System Install/Upgrade Notification Form	ICMP, 6, Forms CLGR 47.1-1202	Submit form 14 days prior to upgrade.

Type of Notification	How	Form	Reference	Comments
Intent to install ticket redeeming kiosk	Email notification form to Division's Technology Section	Kiosk Install/Upgrade Notification Form	ICMP, 8, H	Submit 30 days prior to installation.
Intent to upgrade ticket redeeming kiosk	Email notification form to Division's Technology Section	Kiosk Install/Upgrade Notification Form	ICMP, 8, H	Submit 14 days prior to upgrade.
Intent to use wireless handheld validation unit	Email notification form to Division's Technology Section	System Install/Upgrade Notification Form	ICMP, 7, A	Submit 30 days prior to installation.
Intent to upgrade or modify validation device	Email notification form to Division's Technology Section	System Install/Upgrade Notification Form	ICMP, 7, A	Submit 14 days prior to upgrade.
System problems	Email weekly log to the Division's Technology Section	Weekly Log	ICMP, 6, B, F ICMP, 8, G	Submit log weekly during testing. Submit significant system problems to Division subsequent to submitting Acknowledgment letter but prior to receiving Division approval. Report material issues subsequent to receiving Division approval.
System or module test results	Email Acknowledgment letter to the Division's Technology Section	Acknowledgment Letter	ICMP, 6, A, C, F ICMP, 8, G ICMP, 16, B	Submit Acknowledgment Letter along with all the required supporting documentation upon successful completion of the system or module testing.
Wireless handheld validation unit irregular detections	Written notice to Division's Technology Section immediately	N/A	ICMP, 7, A	All actual intrusions to a system component or module on the network.
TITO device produces any other type of ticket	Email notification to the Division's Technology Section	N/A	ICMP, 8, A	In the event that the TITO device produces any other type of ticket, the licensee must immediately investigate the machine, disable this functionality, and contact the Division
Systems down	Email notification to the Division's Technology Section	N/A	ICMP, 6, F	Systems that report, or affect the reporting of, AGP are down for more than 12 hours in any 30-day period.
Accounting Notifications				
Minimum bankroll requirements	Completion of proper form accompanied by supporting documentation; submit to Audit Section	Minimum Bankroll Analysis Worksheet	ICMP, 11, J ICMP, 1, B CLGR 47.1-1612	Submit prior to opening, upon request by Division, when business conditions warrant or other significant changes impacting the minimum bankroll.
Deficiency in amount of available cash to meet minimum bankroll requirements	Immediately notify Audit Section. Also complete Minimum Bankroll Analysis Worksheet.	Minimum Bankroll Analysis Worksheet	ICMP, 11, J CLGR 47.1-1612	Submit a plan of how the deficiency will be rectified.

Type of Notification	How	Form	Reference	Comments
Monthly gaming tax return	Filed electronically, using CEZFS, on the 15 th of the month, using the Division website	Monthly Gaming Tax Return	ICMP, 11, K CLGR 47.1-1401	Return is due by the 15 th of the month immediately following the month for which taxes are due.
Adjustment to gaming tax return	Email supporting documentation for the adjustment	Monthly Gaming Tax Return	ICMP, 11, K	Contact Division's Tax Examiner prior to making the adjustment.

Note: Notifications to the Audit Section can be made via email to dor_coloradocasinos@state.co.us.

All required notifications and submittals in relation to systems including installation and testing are submitted via email to the Division of Gaming at: DOR_ccbhcasinos@state.co.us or DOR_ripplecreekcasinos@state.co.us, as appropriate.