



COMPLIANCE DIVISION

Presented by Angela M. Bunton, Director of Compliance

Indiana Gaming Commission Business Meeting – September 15, 2023

DIRECTOR OF COMPLIANCE – ANGELA M. BUNTON

- Oversees the overall function of the Compliance Division.
- Considers reports on disciplinary matters.
- Provides recommendations for formal disciplinary action.
- Processes waiver requests.
- Reviews casino policies, procedures and internal control procedures.
- Chairperson of Compliance Committee.
- Chairperson of Gaming Enforcement Best Practices Committee.
- Chairs the GLI working group.
- Negotiates settlements for disciplinary matters recommended by the Compliance Committee.
- Drafts all settlement agreements.
- Oversees all new casino projects and casino transitions.
- Provides informal support to casino staff and IGC Gaming Agents.
- Facilitates review of new technology requests made by the casino and daily casino requests.
- Assists Deputy Director with IGC Responsible Gaming initiatives.

ASSISTANT DIRECTOR OF COMPLIANCE – DAN SHELTON

- Provides operational support to the Compliance and Sports Wagering Divisions.
- Facilitates all review and approval of the sports wagering independent lab certification letters.
- Reviews and approves retail sports wagering internal controls.
- Provides feedback on mobile sports wagering internal controls as needed.
- Reviews and approves mobile sports wagering promotions.
- Member of the Compliance Committee.
- Member of the GLI working group.
- Reviews and approves casino live streaming requests.
- Assists the Director of Compliance in facilitating casino requests and reviews.
- Provides support and backup to all other members of the Compliance Division.

ASSISTANT DIRECTOR OF COMPLIANCE – JEFF WARE

- Oversees table game regulation.
- Reviews table game rules of the game internal controls.
- Reviews all new table game requests.
- Reviews gaming chip designs, schematics and samples.
- Reviews table game shipments.
- Member of Compliance Committee.
- Prepares Compliance Snapshot.
- Provides support and backup to all other members of the Compliance Division.

ELECTRONIC GAMING DEVICE MANAGER – JP MATTINGLY

- Subject matter expert for electronic gaming devices.
- Maintains the IGC Electronic Gaming Device System (EGDS), a database used to catalog all regulated electronic gaming device equipment. The EGDS also tracks EGD inventory, shipments, conversions and movements on the casino floor.
- Facilities all review and approval of the casino independent lab certification letters.
- Provides daily informal support to casinos and suppliers.
- Electronic Gaming Devices account for approximately 81% of statewide casino win. (FY 2023)

PROMOTIONS COORDINATOR – TRACY SANDERS

- Facilitates the review and approval for all casino promotions, including but not limited to tournaments, drawings, giveaways, event notices and general promotions.
- Provides support to the Director of Compliance.
- The Promotions Coordinator reviewed approximately 1,782 promotional and tournament submissions in FY 2023.

RESPONSIBLE GAMING COORDINATOR – STEPHANIE GARDNER

- Subject matter expert for the Voluntary Exclusion Program (VEP) and Internet Self-Restriction Program (ISRP).
- Maintains the databases for the VEP and ISRP.
- Performs all daily tasks for VEP and ISRP which includes data entry, facilitating enrollments and removals at the Indianapolis office, daily communications with excluded individuals, casino employees and Gaming Agents by phone and e-mail.
- Processes VEP forfeitures.
- Facilitates the review and response of all casino patron complaints.
- Provides support to the Director of Compliance.

COMPLIANCE DIVISION STATISTICS

– FY 2023

- Waiver Recommendations – 46
- Disciplinary Action Recommendations – 290
- New Table Games Reviewed – 4
- New Table Games Granted Permanent Approval – 5
- Table Game Shipments and Layout Schematics Approved – 324
- EGD Movements Approved – 794
- EGD Shipments Approved – 2,007
- Independent Lab Certification Letters Reviewed and Approved – 971
- Casino Patron Complaints – 121
- VEP Enrollments – 470
- VEP Removals – 250
- VEP Forfeitures – 54 (\$146,537.60)
- ISRP Enrollments – 105
- ISRP Removals - 12

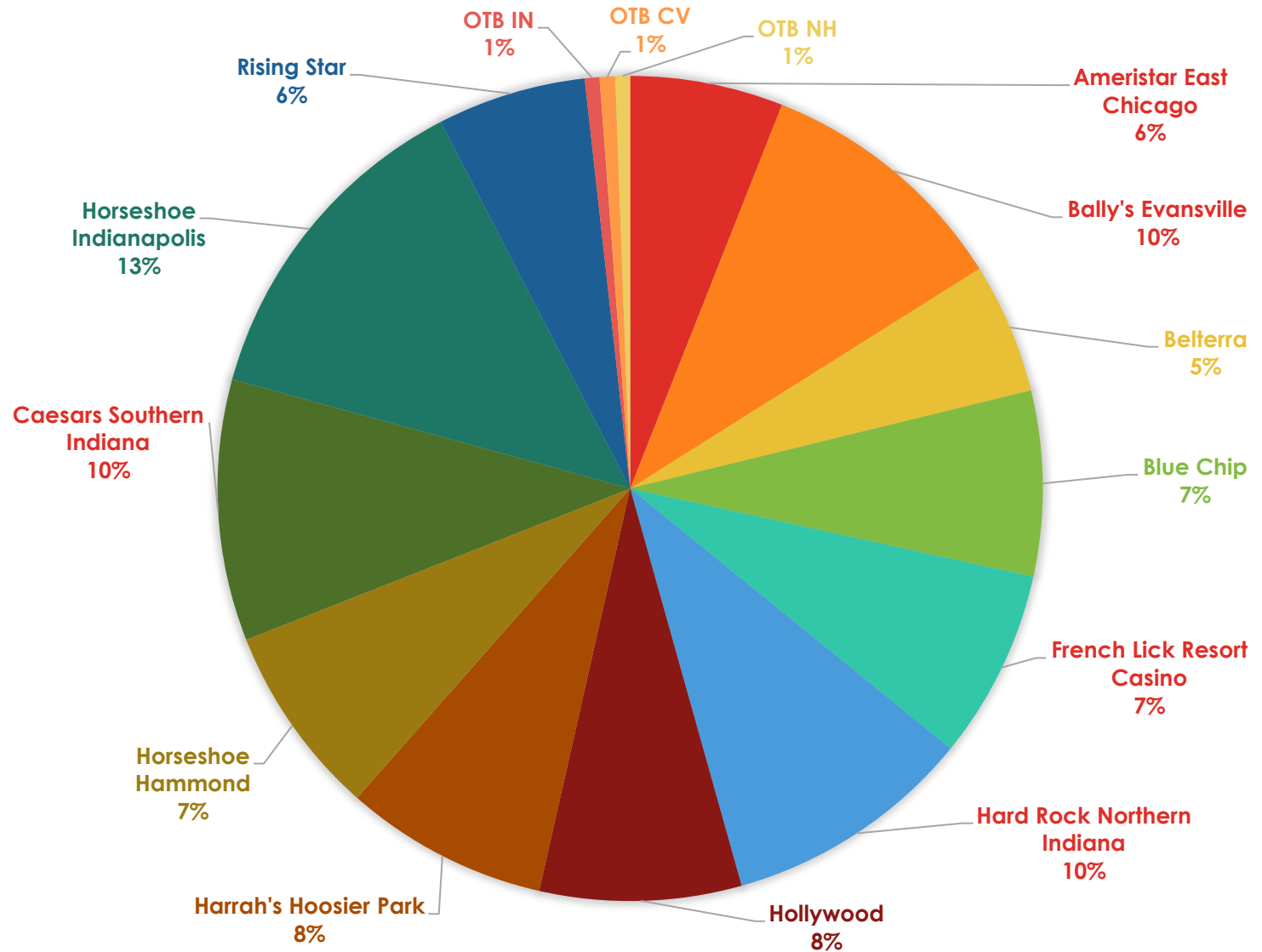
NEW PROJECTS

- Finalizing the development of the updated IGC Exclusions Database.
- Conducting a review of the Gaming Enforcement Best Practices with the Best Practices Committee.
- Working closely with the Audit Division, Executive Staff and Terre Haute Casino Resort on the anticipated opening of their new casino in 2024.
- Developing an IGC request portal with the IGC IT Department.
- Working with the Enforcement Division to integrate regulatory reports into their new case management system.
- Finalizing a Responsible Gaming Audit for Sports Wagering Operators.

COMPLIANCE SNAPSHOT CY 2022

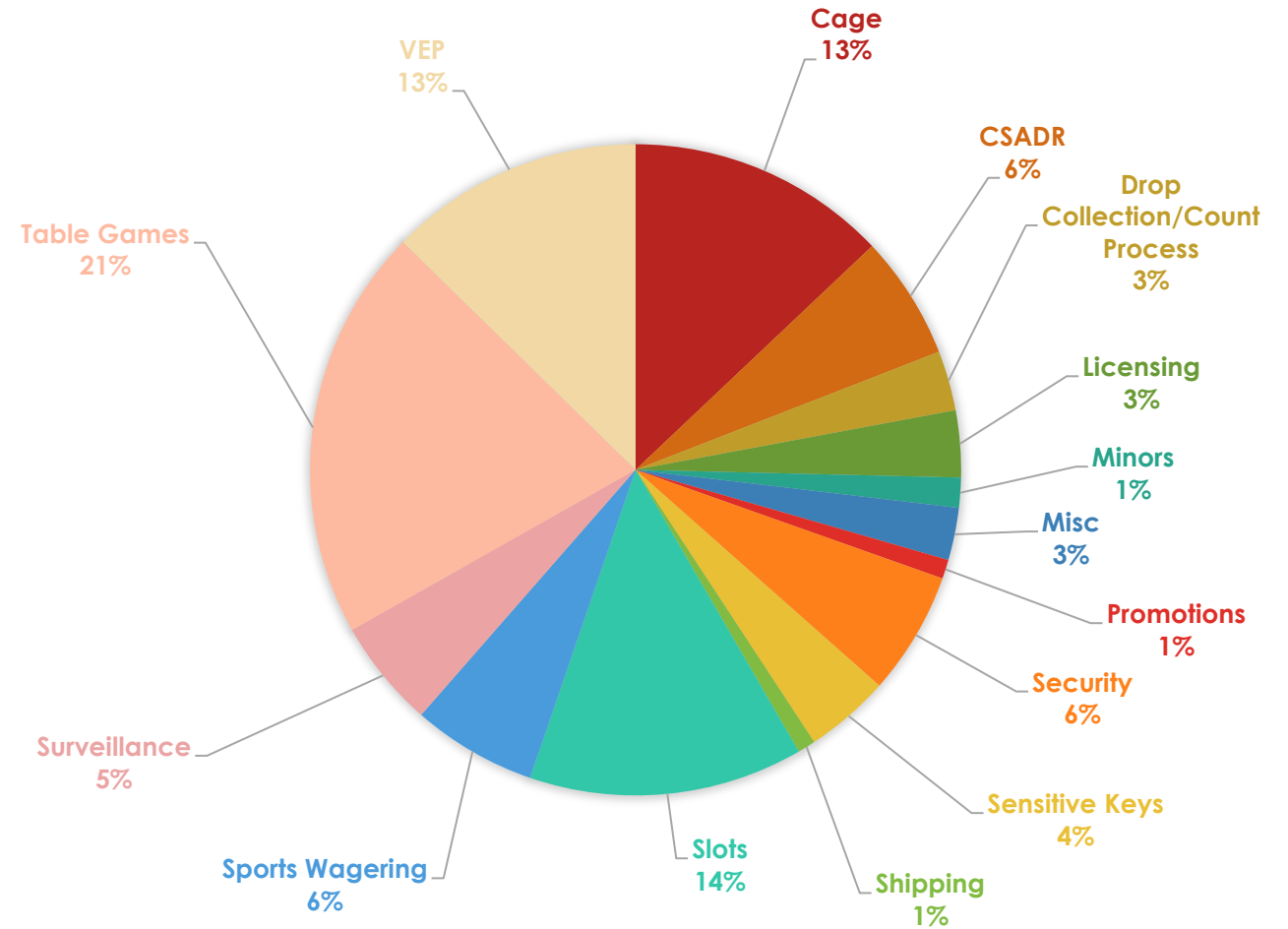
- The Compliance Snapshot examines a breakdown of the incident reports authored at each casino property demonstrating an analysis of the type of violations across the state of Indiana.

TOTAL INCIDENT REPORTS 2022



DEPARTMENT BREAKDOWN

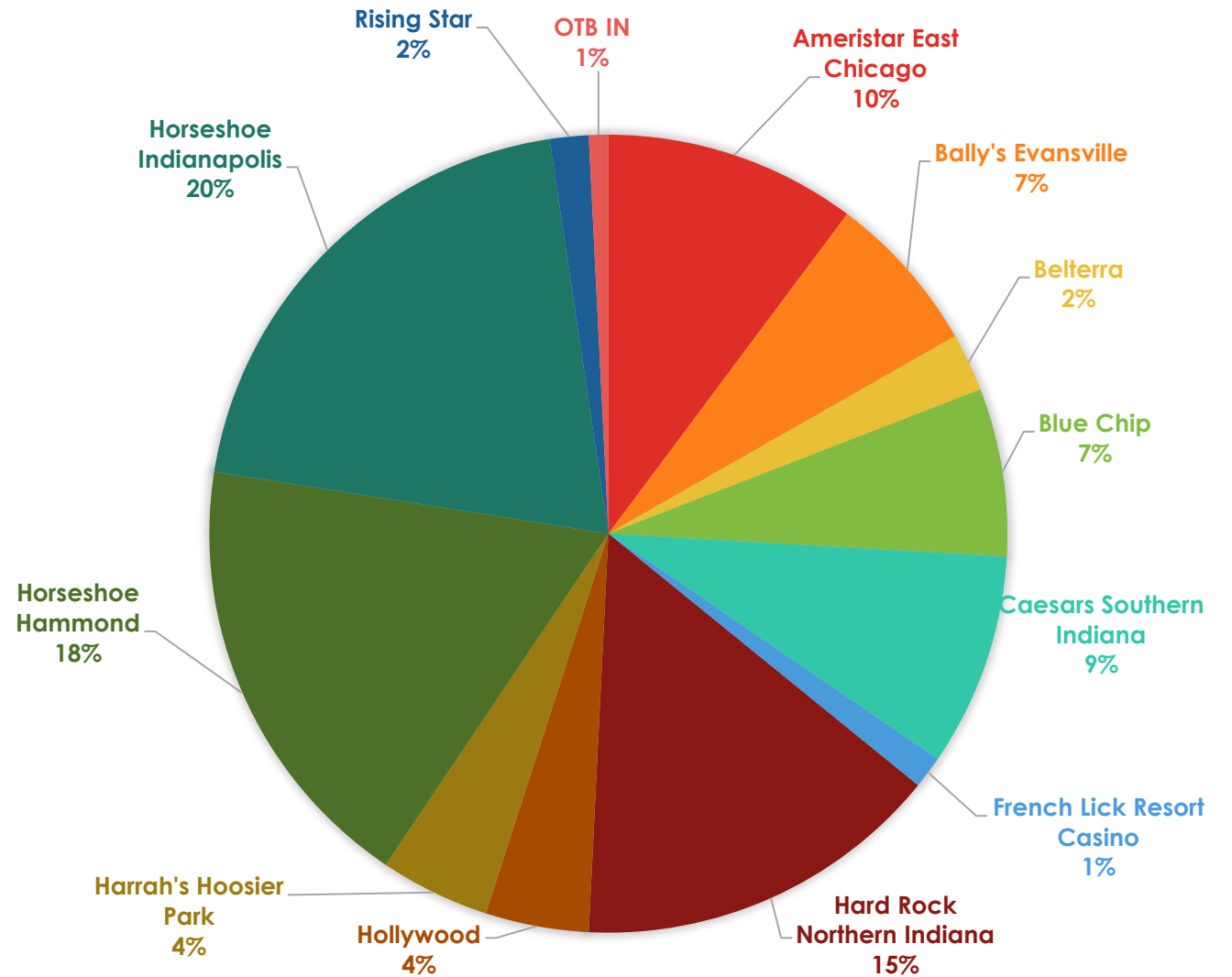
2022 INCIDENT REPORT BREAKDOWN BY DEPARTMENT



CAGE DEPARTMENT

- Variances
- MTL/CTR Violations
- Failure to Safeguard Assets
- Failure to Prepare Table Fills Properly

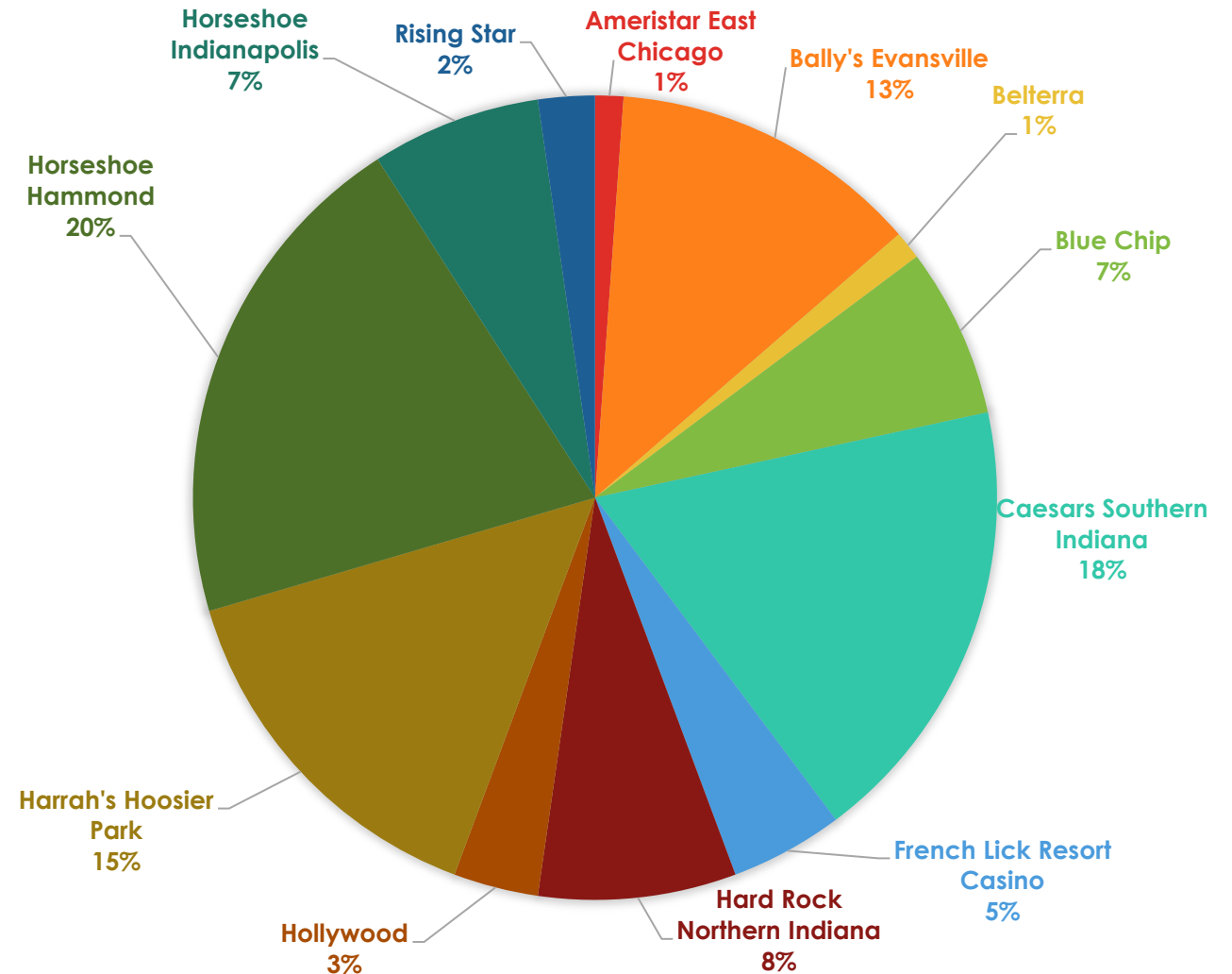
2022 CAGE REPORTS



CURRENCY COLLECTION: DROP AND COUNT PROCESS

- Unsecured BV Box
- Patron in Drop Zone
- BV Drop Staffing Violation
- Failure to Verify BV box is empty during count
- Failure to follow approved drop route
- Variance in Count Room
- Count Room Log
- Failure to Verify Buy from Soft Count
- Failure to wear jumpsuit in count room
- Unauthorized access to count room

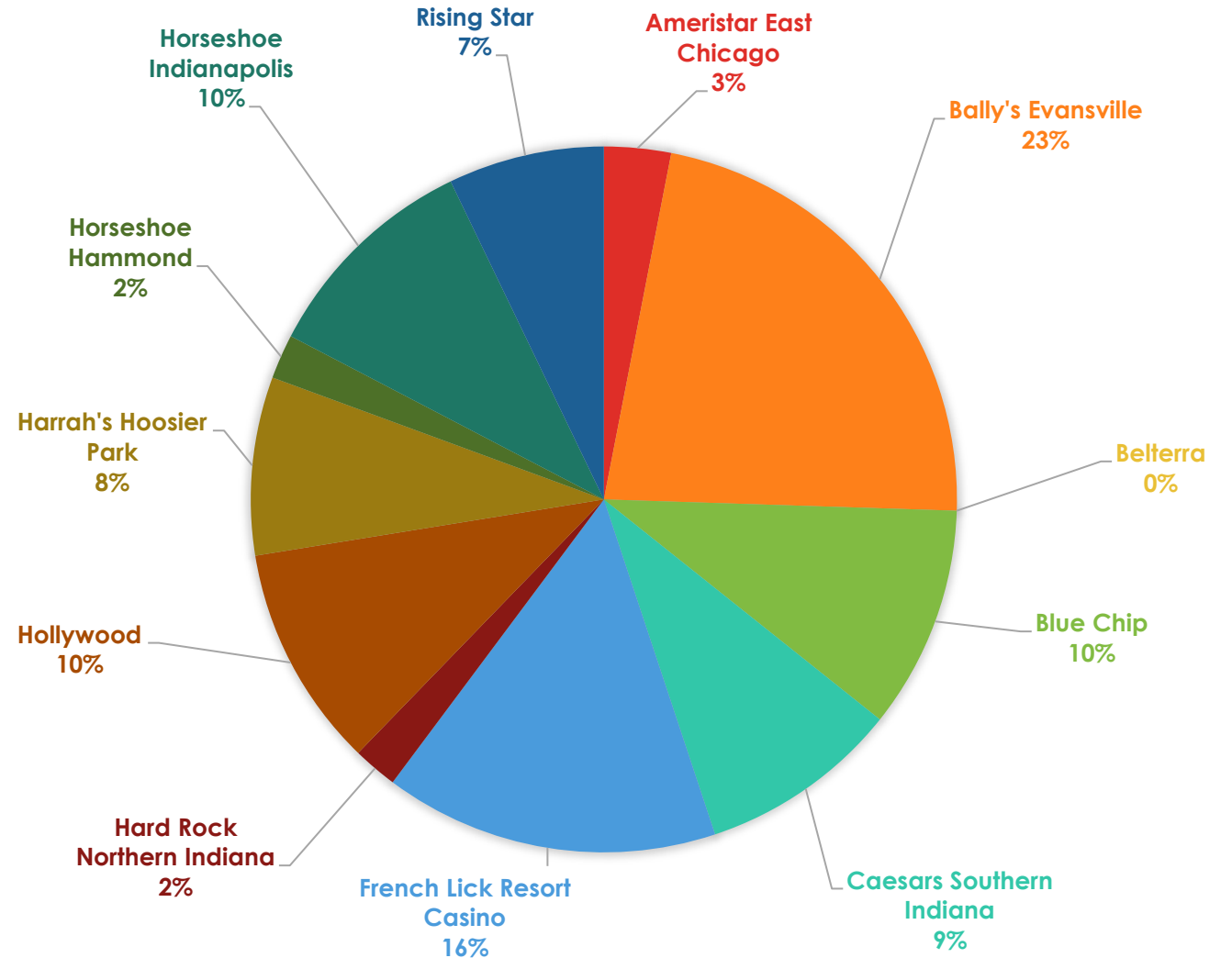
2022 DROP COLLECTION/COUNT PROCESS REPORTS



LICENSING

- Failure to Display Badge
- Failure to Return badge
- Failure to Update
- Failure to Renew License
- Failure to Notify of Termination/Separation
- Prohibited Activities – Patron Placing Wager

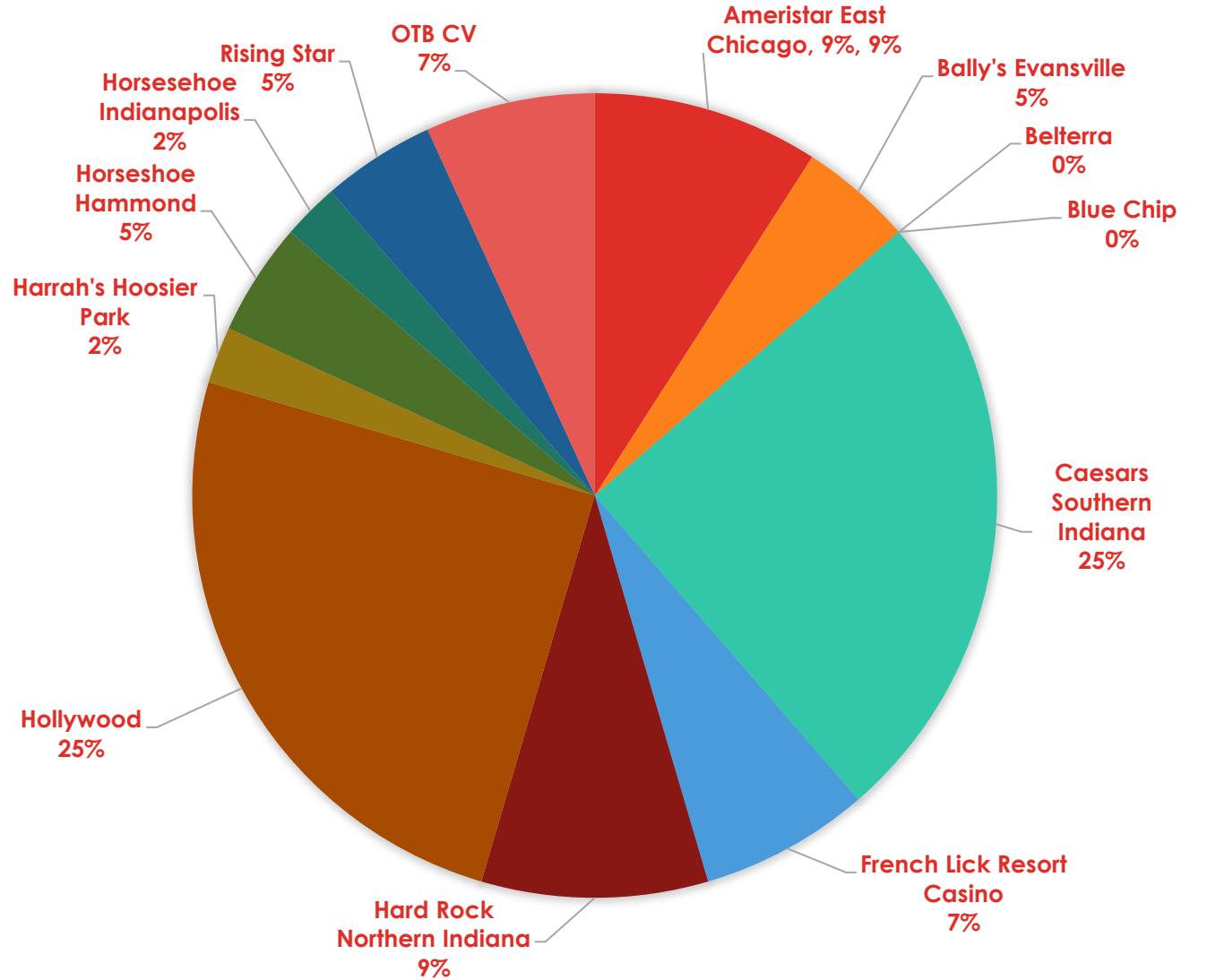
2022 LICENSING REPORTS



MINORS

- Underage persons accessing the casino floor

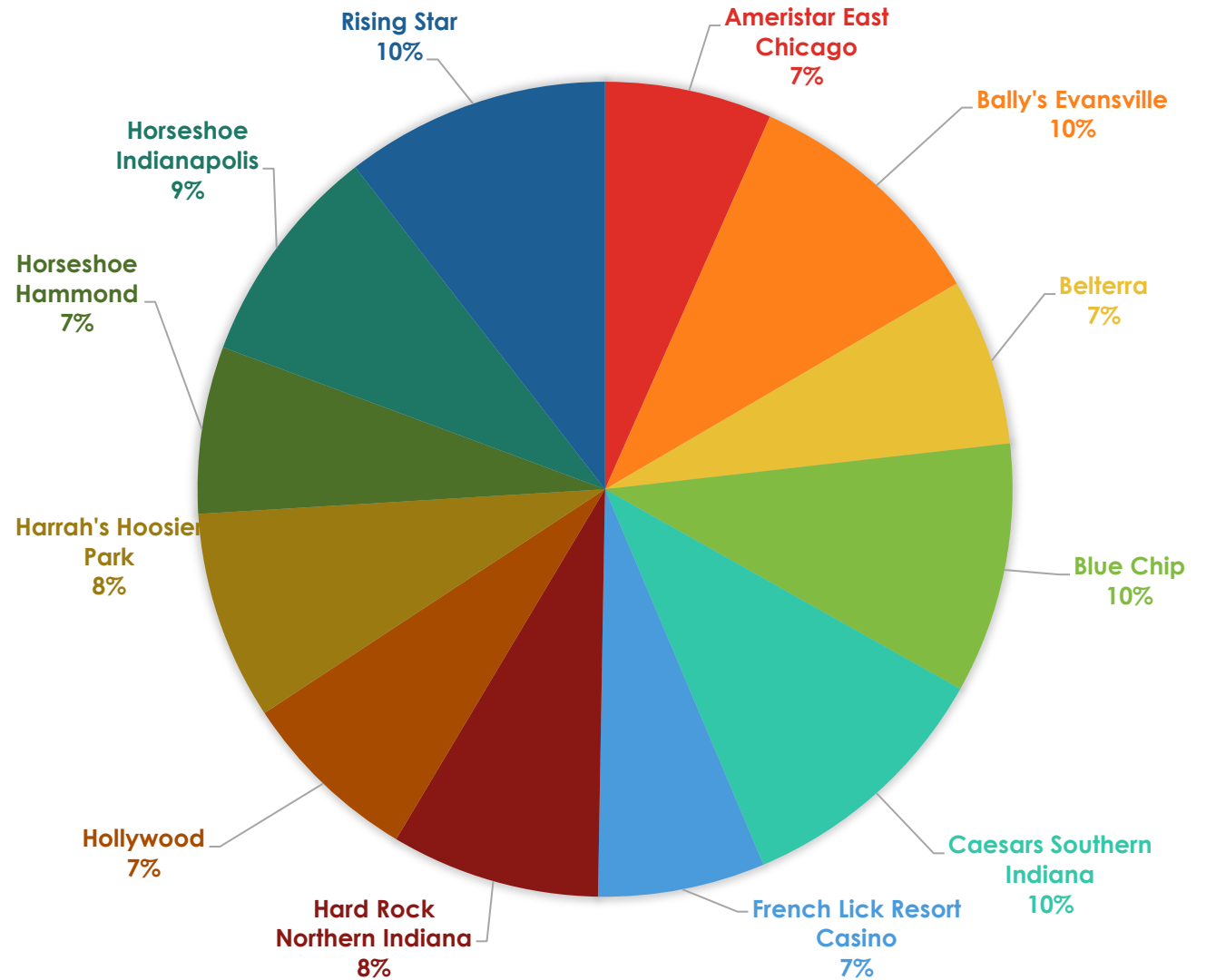
2022 MINORS REPORTS



SECURITY

- Failure to notify of criminal activity or regulatory violation
- Vendor log violations
- Casino Entrance Violations
- Improper Security Procedures

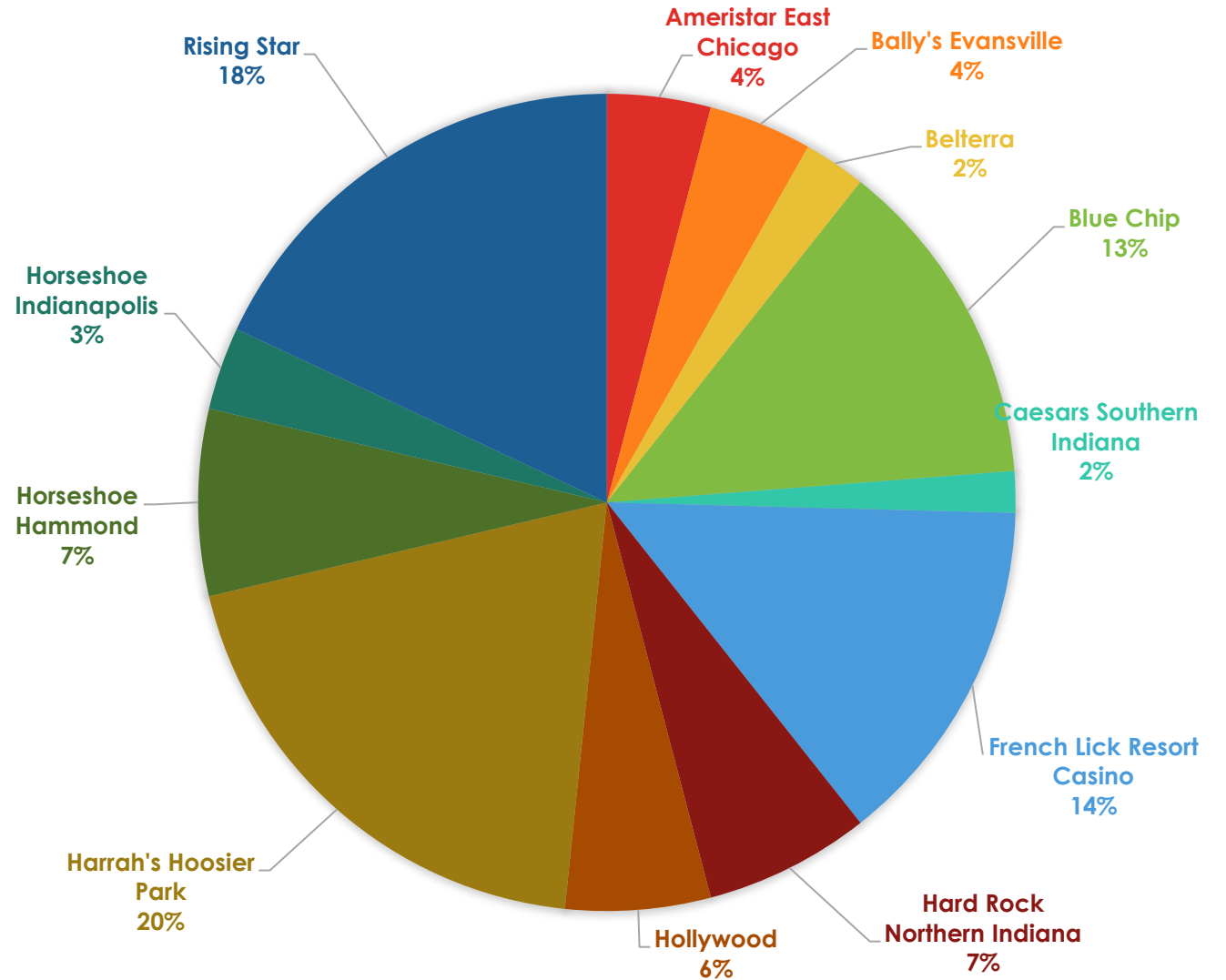
2022 SECURITY REPORTS



SENSITIVE KEYS

- Sensitive keys taken off property;
- Sensitive keys left unsecured;
- Sensitive keys not returned to key box in timely manner;
- Improper custody of keys;
- Failure to maintain key box;
- Failure to adhere to key box alerts.

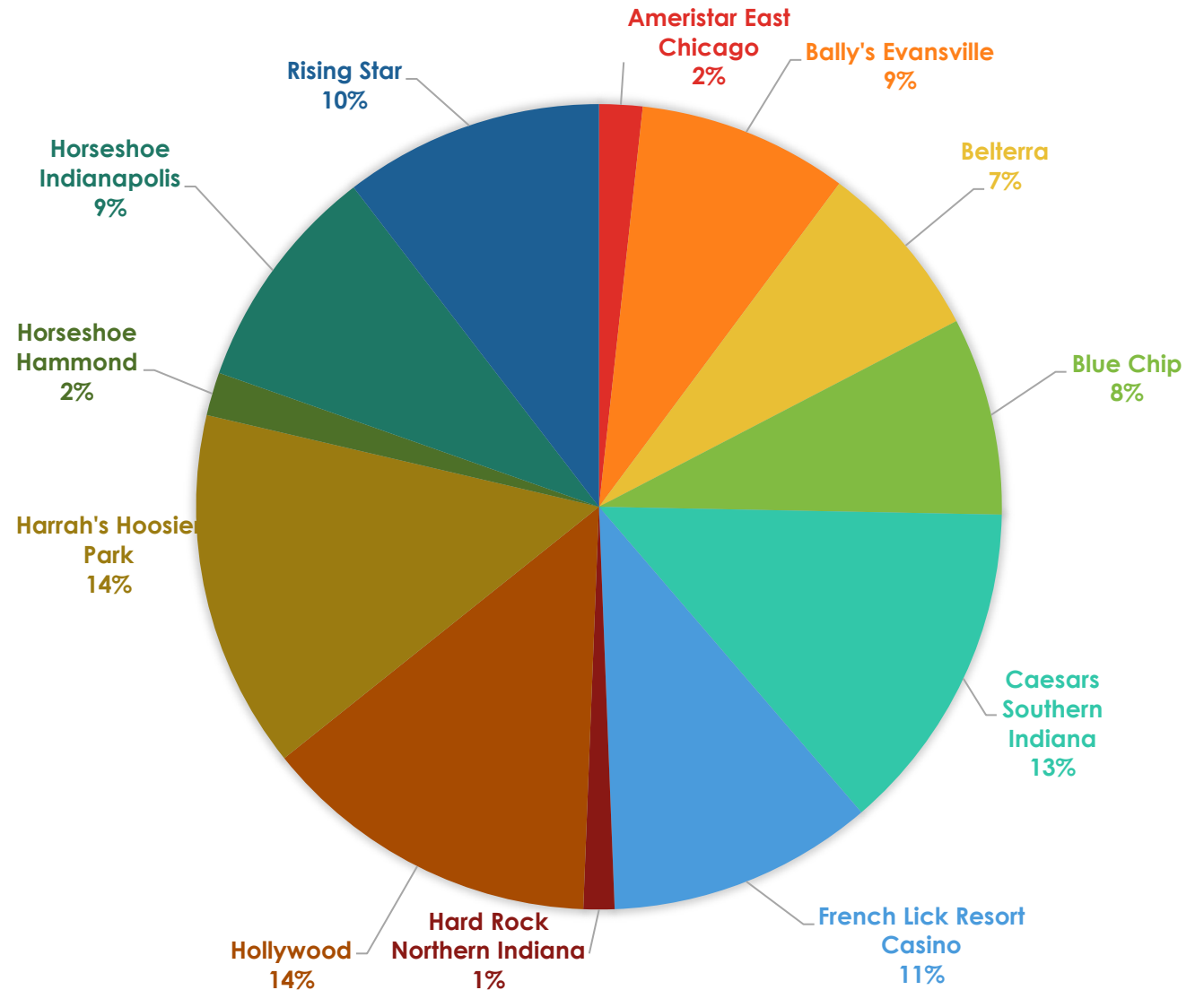
2022 SENSITIVE KEYS REPORTS



SLOT DEPARTMENT

- Manually Paid Jackpot Violations
- Machine Entry Log Violation
- Open Door Violation
- Failure to Coin Test
- Progressive EGD without Surveillance Coverage
- Unapproved EGD Movement

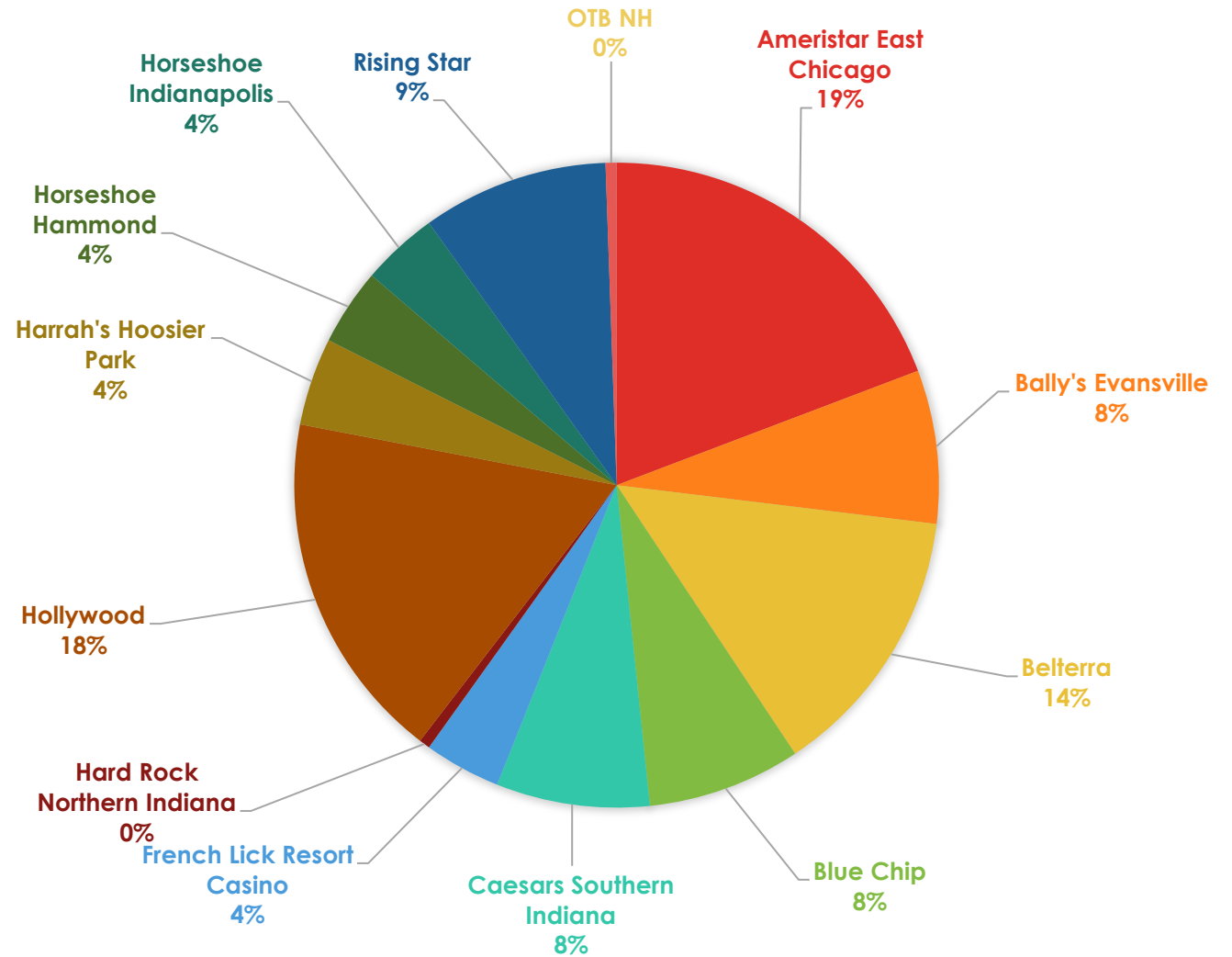
2022 SLOT DEPARTMENT REPORTS



SPORTS WAGERING

- Mobile Application Malfunction
- Retail Sportsbook Audit
- Sportsbook Variance
- Prohibited Participant Audit
- Duplicate Account Violation
- Unapproved Event

2022 SPORTS WAGERING REPORTS



SURVEILLANCE

- Camera Outage
- Camera Malfunction/Equipment Failure
- Failure to have adequate coverage
- Failure to Notify Surveillance

2022 SURVEILLANCE REPORTS

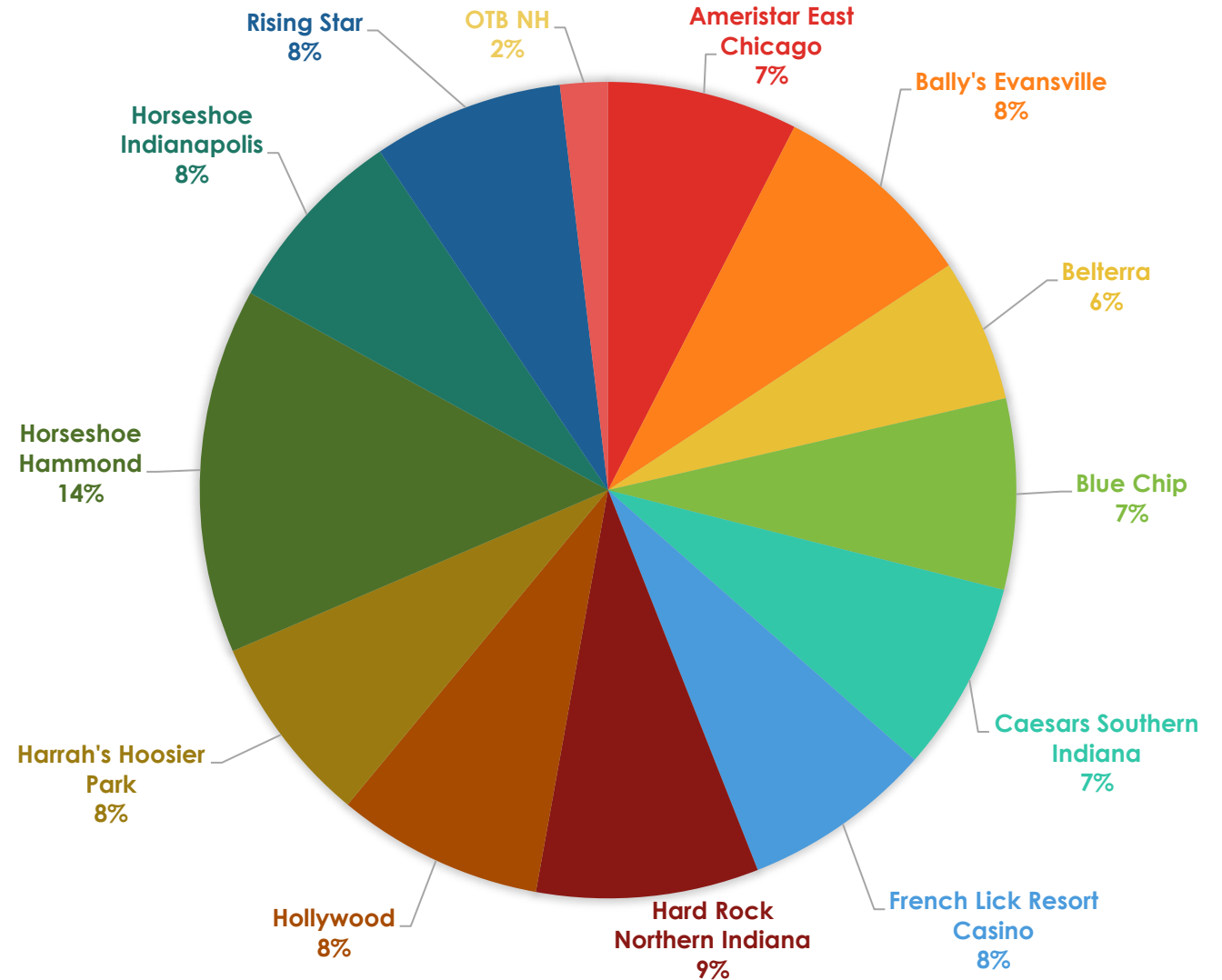
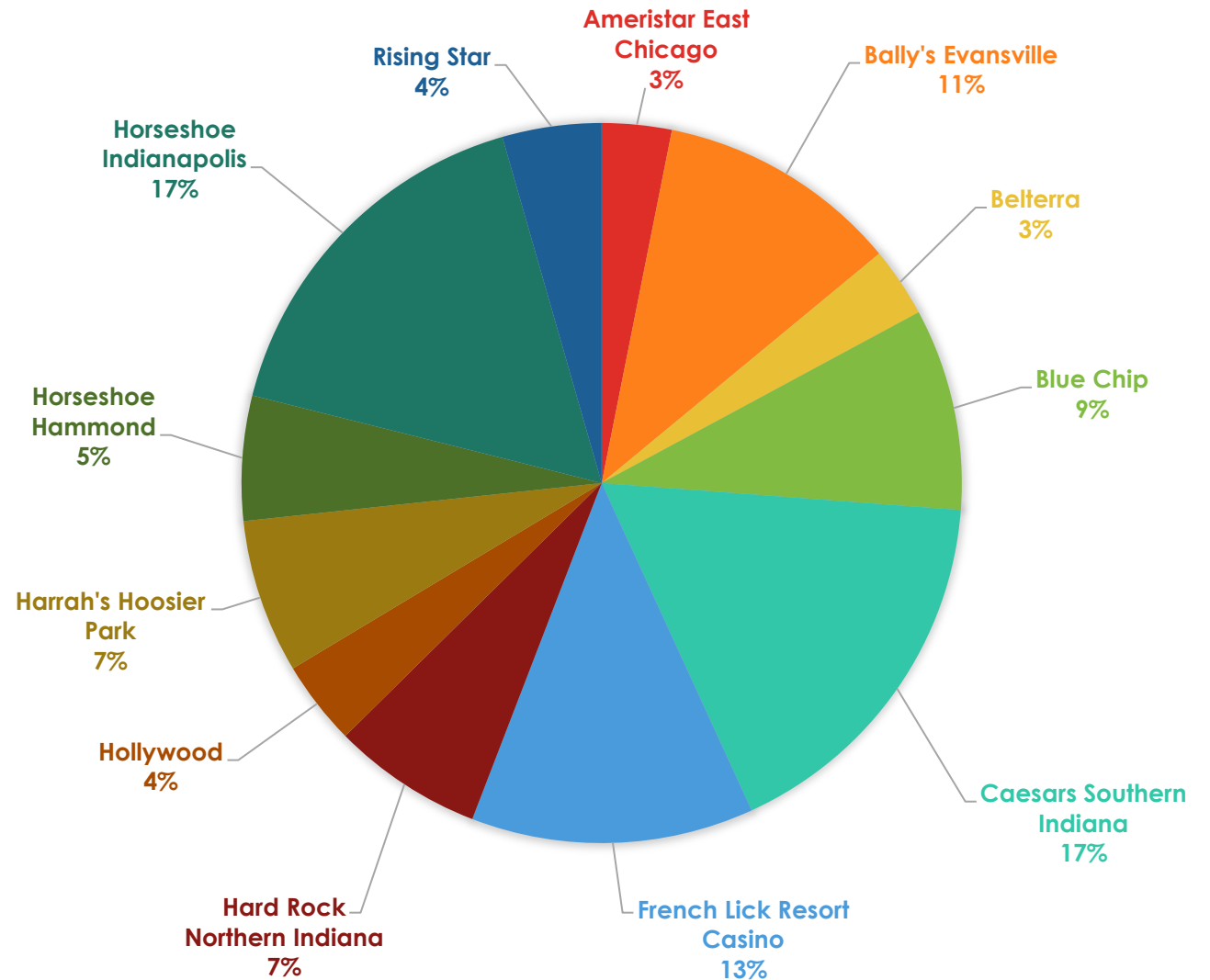


TABLE GAMES DEPARTMENT

- Dealer Errors
- Incorrect Payout
- Missing Card
- Unsecured Cards/Dice
- Table Fill
- Gaming Equipment Inspection
- Incorrect Table Closer
- TITO in Table Game Drop Box
- Progressive Incrementation Violation
- Failure to Safeguard Assets

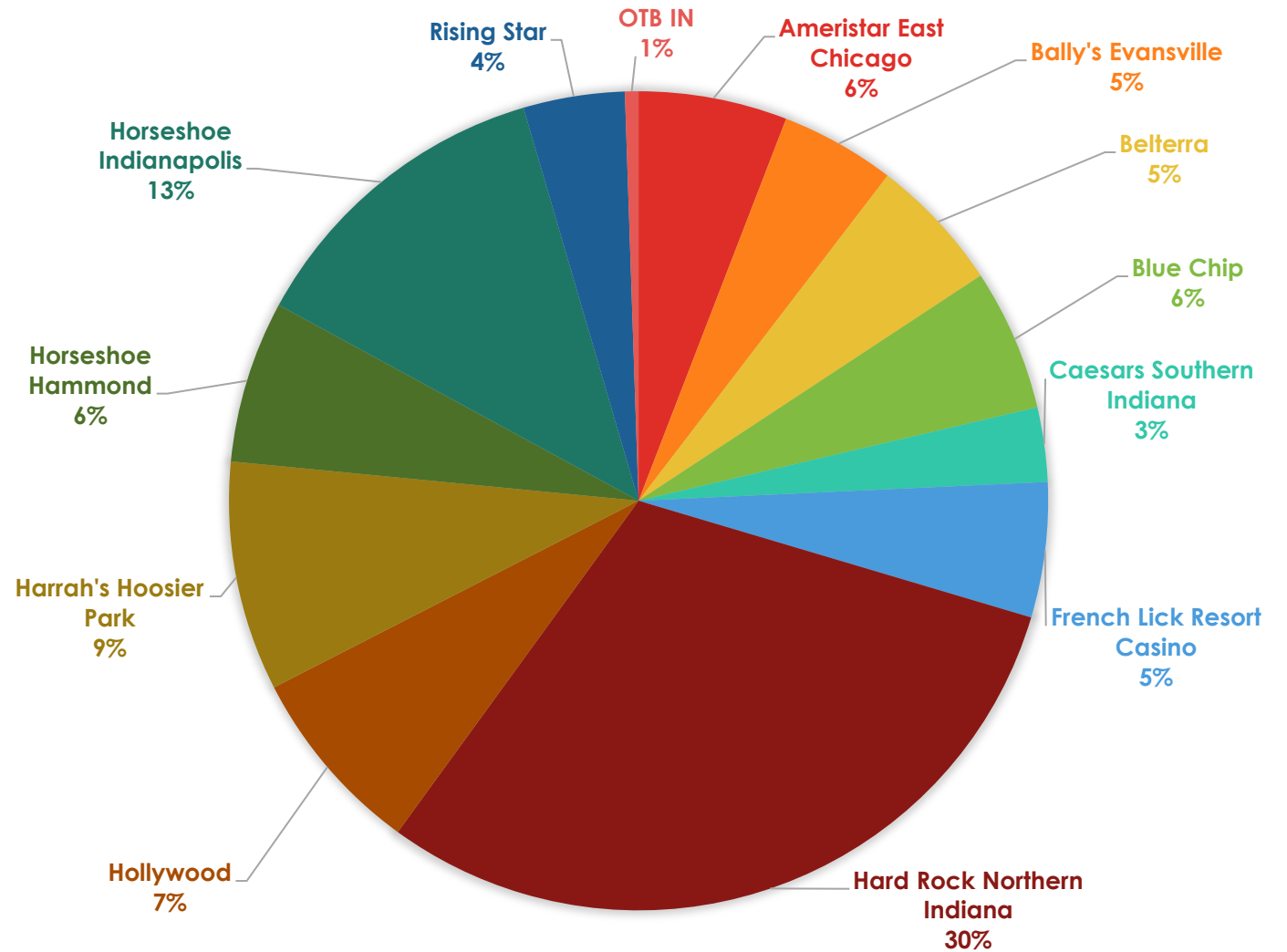
2022 TABLE GAMES REPORTS



VEP

- VEP on property
- VEP Forfeiture
- Payout of winnings
- Direct Mail violation
- Credit Card/Cash Advance
- Failure to Notify of VEP's Presence on Casino Floor
- VEP Audit

2022 VEP REPORTS





IGC EXCLUSION PROGRAMS

- Voluntary Exclusion Program
- Internet Self-Restriction Program

VOLUNTARY EXCLUSION PROGRAM (VEP)

- Governed by Indiana statute 4-33 and 68 IAC 6-3.
- The VEP went into effect on July 1, 2004.
- The VEP program is confidential.
- The VEP allows individuals to self-exclude from all Indiana casinos by completing just one form. Currently, the form must be completed in person and witnessed by an IGC designee.
- An individual may select a one year, five years or lifetime exclusion.
- The VEP applies to the Indiana casinos, the Four Winds South Bend Casino, retail sports books, off track betting facilities offering sports wagering and mobile sports wagering.

VEP SIGN-UP LOCATIONS

- Individuals may sign-up at:
 - An Indiana casino with an IGC Gaming Agent.
 - At the IGC office in Indianapolis by appointment.
 - At a designated Problem Gambling Treatment Provider.
 - Once we roll out our new IGC Exclusions Database, individuals will be able to sign-up online with an identity verification check.

CASINO & SPORTS WAGERING OPERATOR RESPONSIBILITIES

- Casinos must ensure:
 - They have a process for flagging all participants in the VEP.
 - Refuse wagers and deny gaming privileges to VEP participants.
 - Ensure VEP participants are not marketed to or receive direct mail. Scrub all VEP participants from marketing lists within 45 days of enrollment.
 - VEP participants do not have check cashing or credit privileges.
 - The confidentiality of VEP participants is maintained.
- Following enrollment in the VEP, a patron will be allowed to withdraw the full monetary amount remaining in their sports wagering account provided that the sports wagering operator acknowledges that the funds have been cleared.
- All sports wagering operators shall cancel wagers made by prohibited sports wagering participants and refund the amount wagered.
- Assets in sports wagering accounts at the time of enrollment may be collected pursuant to the policies of each sport wagering operator.
- Failure to comply may result in disciplinary action.

VEP RESPONSIBILITIES

- The participant must complete the form of their own free will.
- The participant must not be under the influence of any alcoholic beverages, controlled substances, or prescription medication while completing the form.
- By signing up for the VEP, the voluntarily excluded person agrees to not enter Indiana casinos, Four Winds South Bend casino or participate in sports wagering.
- A voluntarily excluded person volunteers to forfeit any jackpot or thing of value won as a result of a wager made at an Indiana casino.

VEP REMOVAL

- A VEP participant may request removal from the program at the conclusion of their length of exclusion.
- A lifetime participant may not be removed from the program.

VEP STATS

Enrolled: 6,248

Removed: 4,287

Age Summary:

- 21-30: 2.70%
- 31-40: 15.02%
- 41-50: 21.30%
- 51-60: 24.17%
- 61-70: 22.65%
- 70 and Up: 14.16%

State Summary:

- Indiana: 40.31%
- Illinois: 34.86%
- Kentucky: 10.53%
- Ohio: 10.13%
- Michigan: 1.51%

VEP STATS

Gender Summary:

- Male – 57.87%
- Female – 42.13%

Length of Exclusion:

- One year – 39.91%
- Five Year – 25.20%
- Lifetime – 34.88%

INTERNET SELF-RESTRICTION PROGRAM (ISRP)

- Governed by Indiana statute 4-38 and 68 IAC 27-13
- ISRP went into effect on September 1, 2019.
- ISRP applies to mobile sports wagering only.
- Individuals may sign up for ISRP on the Commission's website:
<https://secure.in.gov/apps/igc/selfexclusion/>
- Individuals may sign up for one year or five years.
- Individuals must pass an identity verification check.
- The IGC was the first jurisdiction in the nation to launch a sport wagering exclusion program prior to the roll-out of sports wagering.

SPORTS WAGERING OPERATOR RESPONSIBILITIES

- Sports Wagering Operators shall:
 - Ensure ISRP participants are restricted from wagering.
 - Ensure ISRP participants are not marketed to or receive direct mail. Marketing lists must be scrubbed within 45 days of enrollment.
 - Maintain the confidentiality of ISRP participants.
 - Be responsible for the actions of third-party business partners and contractors related to ISRP.
 - Offer a self-exclusion program specific to their operation only.
- Failure to comply may result in disciplinary action.

ISRP REMOVAL

- An ISRP participant may request removal from the program at the conclusion of their length of exclusion.

ISRP STATS

Enrolled: 221

Removal: 19

Gender Summary:

- Male – 90.95%
- Female – 9.04%

Length of Exclusion:

- One year – 43.89%
- Five Year – 56.10%

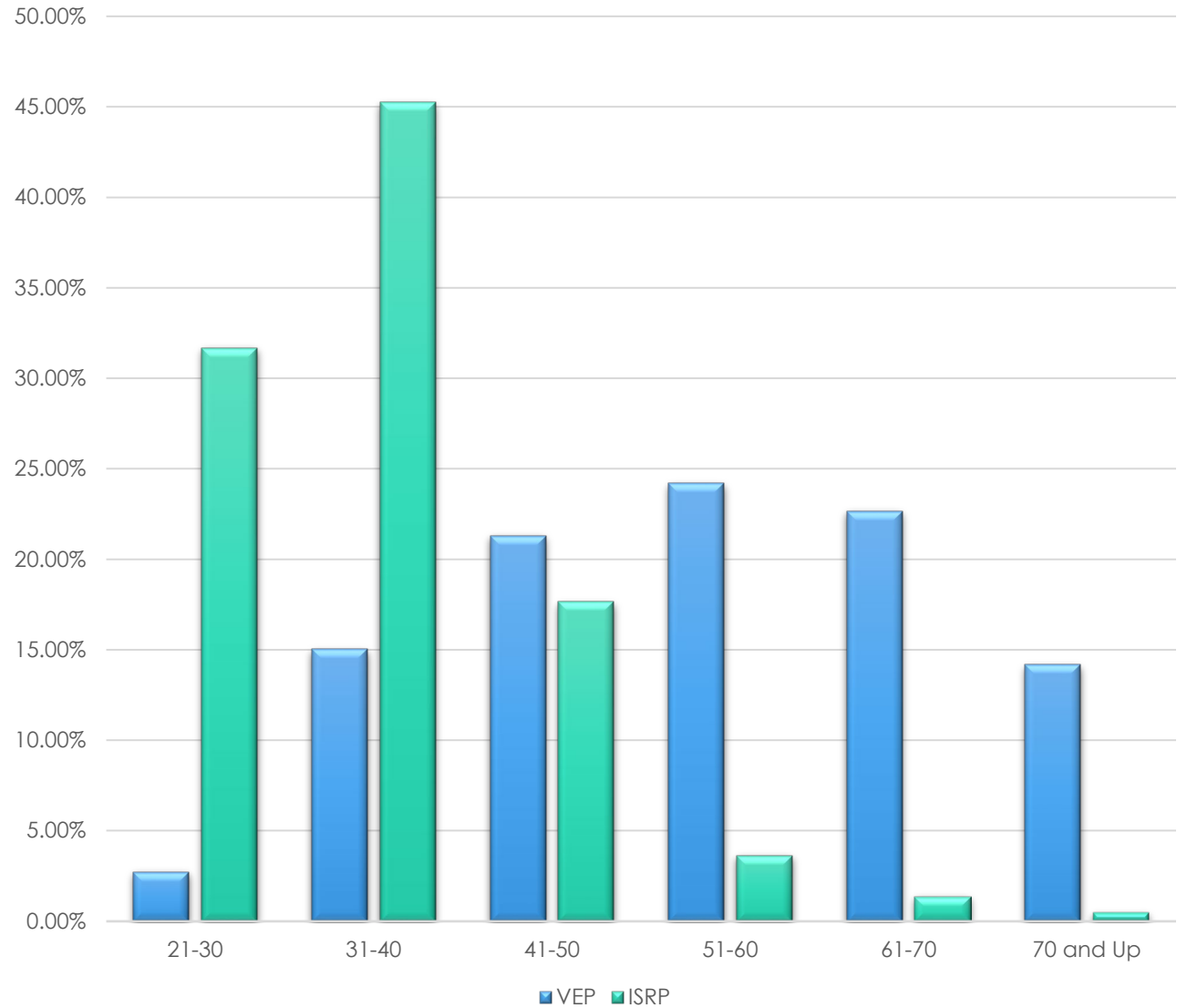
Age Summary:

- 21-30: 31.67%
- 31-40: 45.24%
- 41-50: 17.64%
- 51 and up: 5.42%

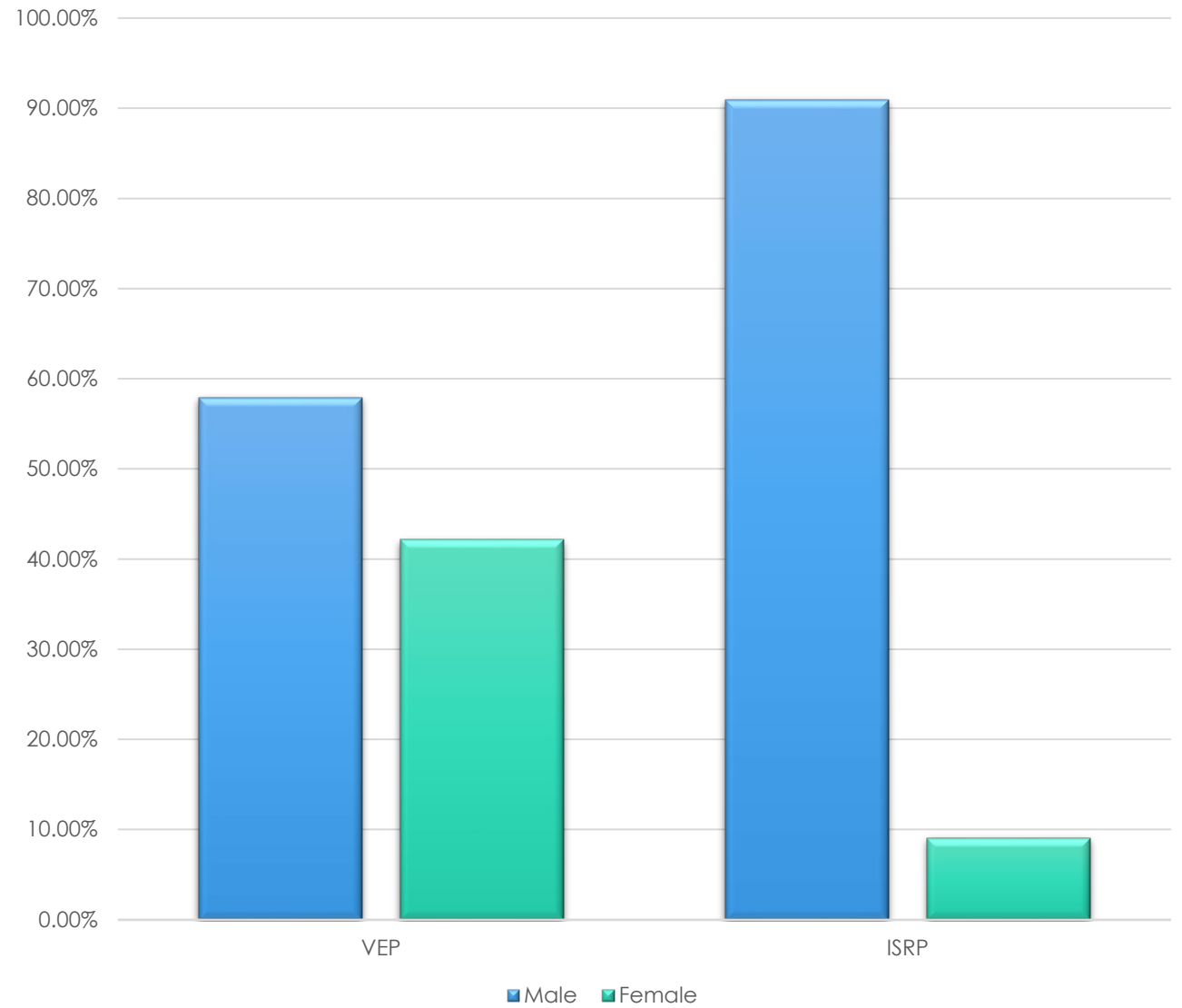
State Summary:

- Indiana: 91.85%
- Kentucky: 2.26%
- Illinois: 1.35%
- Alabama: and Tennessee: .90%
- Michigan, New Jersey, North Carolina, Pennsylvania, Virginia and Washington: .45%

COMPARISON OF AGE FOR VEP AND ISRP PARTICIPANTS



COMPARISON OF GENDER FOR VEP AND ISRP



RESPONSIBLE GAMING REQUIREMENTS

- Sports Wagering Operators shall have a responsible gaming webpage that shall contain the following:
 - a prominent message, which states "If you or someone you know has a gambling problem and wants help, call 1-800-9-WITH-IT"
 - a direct link to the Indianagambinghelp.com website and other Internet resources dedicated to helping people with potential gambling problems as directed by the commission;
 - a link to the Indiana statewide Internet self-restriction program administered by the commission;
 - a clear statement of the sports wagering operator's policy and commitment to responsible gaming along with a link to the sports wagering operator's specific self-exclusion program.

RESPONSIBLE GAMING

- Options for help with Responsible Gaming:
 - Indiana Problem Gambling Referral Line: **1-800-994-8448**
 - By texting INGAMB to 53342
 - IGC Problem Gambling Help Website:
www.indianagambinghelp.com
 - Provides link to the following:
 - Finding a Gambling Addiction Counselor
 - Voluntary Exclusion Program
 - Internet Self-Restriction Program
 - Problem Gambling Resources
 - Self-Assessment Test
 - Indiana Problem Gambling Hotline – 1-800-9-WITH-IT

IGC – PROBLEM GAMBLING CAMPAIGN

- Social Media Campaign – goal is to drive individuals of a certain target age group to our Indiana Problem Gambling Help website based off certain internet search criteria or based off of websites visited.



INDIANA GAMBLING
HOTLINE

here to help

ANONYMOUS SELF ASSESSMENT TEST



THIS SEASON
SHINING THE
LIGHT ON YOUR
G A M B L I N G
ADDICTION?

indianagamblinghelp.com

Take the quiz



DON'T LOSE BIG
ON THE BIG GAME.

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HOTLINE

Get help today. Before it's game over.

CLICK OR CALL 800.994.8448



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SPINNING
OUT OF
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Take back your life.
Join the Voluntary
Exclusion Program
TODAY.

CLICK OR
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SPORTS GAMBLING PROBLEM?
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