**DIVISION OF GAMING**

 **NOTIFICATION REQUIREMENTS**

**Effective December 15, 2020**

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| **Investigations Notifications** | **When/How to Notify** | **Reference** | **Comment** |
| **Discovery of violations & Discovery of Title 18 Violations (Crimes Occurring on Retail Property)** |  | **ICMP, 1, C****0-402** | **Upon discovery of any violation or any suspected violation of the statute, rules, or ICMP.** **Upon discovery of a criminal violation, or upon determination after proper investigation that a criminal violation occurred, notify the division via** **dor\_coloradocasinos@state.co.us** **within three calendar days. This notification should be secondary to notifying first responders when necessary.**  |
| **Underage Gaming or Underage Lingering** | **Immediate Notification****Unless otherwise noted in the Comment Column,****telephone call to dispatch to have investigator respond.****For casinos in Central City & Black Hawk call Dispatch at 303-582-5500****For casinos in Cripple Creek call Dispatch at 719-689-2655**  | **44-30-809** | **Any person under age 21 lingering in gaming area or participating in limited gaming. Including fraudulent/suspected fraudulent identification.** |
| **Gaming License** | **44-30-814** | **Person working in limited gaming without a license or licensed employee gaming where employed.** |
| **Maximum Bet** | **44-30-816** | **Allowing a bet over the $100.00 limit.** |
| **Unlawful Tips** | **44-30-820** | **Licensee working in a supervisory position accepting tips or licensee violating tip distribution criteria.** |
| **Fraudulent Acts** | **44-30-822** | **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** | **44-30-821****44-30-823****44-30-825** | **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** | **44-30-824** | **Unapproved, discontinued, and shaved chips or tokens or wrong denomination found in slot machines ($20 or more).** |
| **Death of a Gaming Patron** | **30-214** | **Division determines the disposition of the deceased****patron’s winnings.** |
| **Visibly Intoxicated Persons** | **30-415** | **Patron gaming while visibly intoxicated after being warned.** |
| **Patron Disputes** | **30-417** | **Licensee refuses payment of winnings, unresolved dispute, or any dispute that involves $1,250 or more.** |
| **Activities Which Constitute Fraud** | **30-425****ICMP, 4, L** | **Patrons playing in cooperation or collusion, or****communication during play not understood by all patrons.** |
| **Investigations Notifications** | **When/How to Notify** | **Reference** | **Comment** |
| **Disciplinary proceedings** |  | **30-502** | **Licensee commits or is suspected of committing any crime in a casino.** |
| **Cards (Blackjack)** | **30-806** | **Games dealt with improper number of cards or marked, crimped or shaved cards.** |
| **Wagers (Blackjack)** | **Immediate Notification****Unless otherwise noted in the Comment Column,****telephone call to dispatch to have investigator respond.****For casinos in Central City & Black Hawk call Dispatch at 303-582-5500****For casinos in Cripple Creek call Dispatch at 719-689-2655** | **30-807** | **Wagers paid or collected incorrectly (third occurrence per shift).** |
| **Dealer’s Hole Card** | **30-823** | **Dealer exposes or looks at hole card (first occurrence if****intentional, second time if inadvertent).** |
| **Irregularities** | **30-828** | **Dealer or pit supervisor fail to follow procedures listed.** |
| **Blackjack Rules Violations** | **30-832, 833,****834, 834.2** | **Dealer violates rules for any blackjack game (first occurrence if intentional, second time if inadvertent).** |
| **Rules for Poker** | **30-1001** | **Dealer rule violation on all player and house banked games (first time if intentional, second if inadvertent).** |
| **Cards (Poker)** | **30-1007** | **Games dealt with improper number of cards, or marked,****crimped or shaved cards.** |
| **Restrictions on Proposition****Players** | **30-1048** | **Proposition players playing in collusion or more than three****proposition players playing in a game.** |
| **Cards** | **30-1205** | **Cards lost or discovered in a non-secure storage location.** |
| **Slot Machine Awards** | **30-1256** | **Award claimed by a patron other than person making the****wager (disputed).** |
| **Slot Components Secure** | **30-1257** | **Slot door unsecured and unauthorized entry made.** |
| **Altered Gaming Documents** | **30-1621** | **Altered or falsified gaming documents discovered.** |

| **Type of Notification** | **How** | **Form** | **Reference** | **Comments** |
| --- | --- | --- | --- | --- |
| **General Notifications** |
| **Upon evidence of tampering, alteration, missing or additional playing cards** | **Telephone call to dispatch for investigator response** | **N/A** | **CLGR 30-1207** |  |
| **Intent to sponsor limited gaming by a charitable organization** | **Written notice to Golden office of the Division of Gaming to the attention Audit Section at least 14 days prior to the day of the event** | **Contact Division for the form**  | **ICMP, 11, K** | **Must notify Division prior to event.** |
| **Unresolved disputed jackpot or any disputed jackpot of $1,250 or more** | **Telephone call to dispatch for investigator response** | **N/A** | **ICMP, 4, L****CLGR 30-417** | **The slot machine shall *not* be reset or altered (i.e., no further play) until a Gaming investigator has arrived** |
| **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 through REVENUE ONLINE (ROL), on the 15th of March. A link to ROL is available on the** [**Division’s website**](https://www.colorado.gov/enforcement/gaming)**.** | **Standard Financial Statement** | **ICMP, 11, L CLGR 30-1619** | **Required to file for year ended December 31.** |
| **Unaudited financial statements** | **Call the Division’s Audit Section** |  | **ICMP, 11, L****CLGR 30-1619** | **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 30-1620** | **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, 1, B****ICMP, 11, N** | **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 *prior* to implementation.** |
| **Organization chart, job descriptions & list of personnel** | **Written list to Division** | **N/A** | **ICMP, 1, B****CLGR 30-404** | **Submit prior to opening.** |
| **Application for licensure in a foreign jurisdiction** | **Written notice to Division** | **N/A** | **CLGR 30-426** | **Copies of all application forms & related documents must be available upon request.** |
| **NSF jackpot checks to patrons** | **Written notice to local Division and within 24 hours of receiving actual notice** | **N/A** | **CLGR 30-1612 (2)** |  |
| **Table Games, EBT, Slot and Kiosk drop and count schedule** | **Email written notice to Audit Section**  | **Drop & Count Schedule** | **ICMP, 1, B & I****ICMP, 5, B, C, & D****ICMP, 8, D****CLGR 30-1609** | **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 through Revenue Online. A link to ROL is available on the** [**Division’s website**](https://www.colorado.gov/enforcement/gaming)**.** | **Personnel Tracking** | **CLGR 30-404** | **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** | **Additional 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, 1, B & I****ICMP, 5, B****CLGR 30-1609** | **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.** |
| **Table games jackpot award procedures** | **Copy of proposed rules and procedures to local Division office**  | **N/A** | **CLGR 30-1039****CLGR 30-1060****CLGR 30-1061** | **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 30-842****CLGR 30-1057** | **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 30-1050 and CLGR 30-1057** | **Participating licensees must submit tournament rules to local Division office at least five (5) days prior to the schedules start of tournament.** |
| **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, 1,B****ICMP, 5, C & D****ICMP, 8, D****CLGR 30-1609** | **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.** |
| **Emergency slot count** | **Email written notice to Audit Section** | **N/A** | **ICMP, 5, C** | **Within 24 hours of the emergency count, including an explanation justifying the need for the emergency count.** |
| **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.**  |
| **Device movement** | **File electronically through Revenue Online (ROL). A link to ROL is available on the** [**Division’s website.**](https://www.colorado.gov/enforcement/gaming)  | **Device Removal, Device Receipt** | **ICMP, 4, D****CLGR 30-405(5)** | **Required weekly.** |
| **Slot floor database** | **File electronically through Revenue Online (ROL). A link to ROL is available on the** [**Division’s website.**](https://www.colorado.gov/enforcement/gaming)  | **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** | **Email written notice**  | **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 30-1251** | **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 15th 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 gaming system (i.e., slot, cage, pit, external bonus system, kiosk, wireless handheld device, etc.)** | **Email notification form to the Division’s Technology Section** | **System Install/Upgrade Notification Form** | **ICMP, 2, A ICMP, 3, A****ICMP, 4, G****ICMP, 6, A****ICMP , 7, A ICMP, 8, A****ICMP, 9, A****ICMP, 16, A****CLGR 30-1202** | **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 gaming system including SMIB and data collection units** | **Email notification form to the Division’s Technology Section** | **System Install/Upgrade Notification Form** | **ICMP, 7, Forms****CLGR 30-1202** | **Submit form 30 days prior to upgrade.** |
| **Intent to switch from one gaming system to another.** | **Email notification form to Division’s Technology Section** | **Kiosk Install/Upgrade Notification Form** | **ICMP, 7, A** | **Submit 30 days prior to installation.** |
| **Intent to install or upgrade kiosk** | **Email notification form to Division’s Technology Section** | **Kiosk Install/Upgrade Notification Form** | **ICMP, 7, A** | **Submit 30 days prior to upgrade.** |
| **Intent to use and/or test 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 use and/or upgrade or modify cage, pit or 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 upgrade.** |
| **System problems during gaming system testing and field trials.** | **Email weekly log to the Division’s Technology Section** | **Weekly Log** | **ICMP, 7, A** | **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 for several, but not all testing requirements** | **Email Acknowledgment letter to the Division‘s Technology Section** | **Acknowledgement Letter** | **ICMP, 7,**  | **Submit Acknowledgment Letter along with all the required supporting documentation upon successful completion of the system or module testing.** |
| **Wireless and/or any other 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** |
| **Employees with system access who were not terminated within 3 days** | **Email to Division’s Technology Section.** | **N/A** | **ICMP, 6, L** | **Name of employee(s) and reason why employee(s) was not terminated within 3 days.** |
| **Gaming System down**  | **Email notification to the Division's Technology Section**  | **N/A** | **ICMP, 6**  | **a. Systems that report, or affect the reporting of, AGP are down for more than 12 hours in any 30-day period. b. System interfaces from the count (currency or ticketes) and/or EPCS. c. Unanticipated incidents.** |
| **Accounting Notifications** |
| **Minimum bankroll requirements** | **Completion of proper form accompanied by supporting documentation; submit to Audit Section** | **Minimum Bankroll Analysis Worksheet** | **ICMP, 1, B****ICMP, 11, J****CLGR 30-1612** | **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 30-1612** | **Submit a plan of how the deficiency will be rectified.** |
| **Monthly gaming tax return** | **Filed electronically, using REVENUE ONLINE (ROL), on the 15th of the month. A link to ROL is available on the** [**Division’s website**](https://www.colorado.gov/enforcement/gaming)**.** | **Monthly Gaming Tax Return** | **ICMP, 11, K CLGR 30-1401** | **Return is due by the 15th 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\_cripplecreekcasinos@state.co.us, as appropriate.