



October 20, 2025

VIA EMAIL

Robert VanZile, Jr., Chairman
Sokaogon Chippewa Community
3051 Sand Lake Rd.
Crandon, WI 54520

Re: Sokaogon Chippewa Community Amended Gaming Ordinance

Dear Chairman VanZile:

This letter responds to your August 6, 2025 submission on behalf of the Sokaogon Chippewa Community ("Tribe") for the National Indian Gaming Commission ("NIGC") Chair to review and approve amendments to the Tribe's gaming ordinance ("Ordinance"). The Tribe adopted the Ordinance through resolution #08-04A-2025 on August 4, 2025. We understand that the Tribe made these amendments to its Ordinance to ensure consistency with updated NIGC regulations.

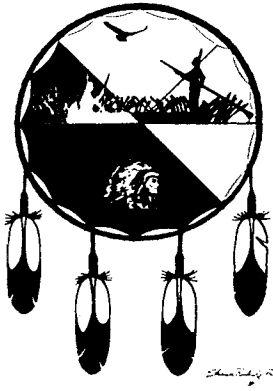
Thank you for bringing these amendments to our attention. The amended Ordinance is approved as it is consistent with the requirements of IGRA and NIGC's regulations. If you have any questions, please contact NIGC Staff Attorney Josh Proper at joshua.proper@nigc.gov or (202)-632-0294.

Sincerely,

A handwritten signature in blue ink that reads "Sharon M. Avery".

Sharon M. Avery
Chair (Acting)

CC: Shawn Rachal, Chairperson, Sokaogon Gaming Commission

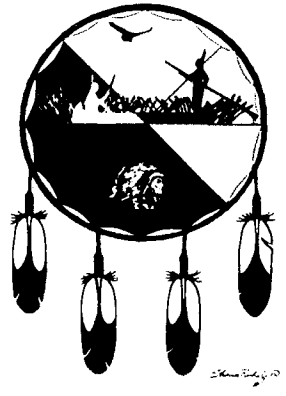


Sokaogon Chippewa Community

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RESOLUTION NO. 08 – 04A - 2025

ADOPTION OF UPDATES, CODIFICATION AND AMENDMENTS TO THE SOKAOGON CHIPPEWA COMMUNITY GAMING ORDINANCE

WHEREAS: the Sokaogon Chippewa Community is a duly organized and federally recognized Indian Tribe. organized under a Constitution adopted August 25, 1938 and approved on November 9, 1938 pursuant to Section 16 of the Indian Reorganization Act; and

WHEREAS, the Sokaogon Band of Lake Superior Chippewa Indians in Mole Lake, Wisconsin did adopt a Constitution on November 9, 1938, as amended which confers certain sovereign powers upon the Tribal governing body by members of the Sokaogon Chippewa Community; and

WHEREAS, Article IV of the Constitution, as amended, establishes a Tribal Council as the governing body of the Tribe; and

WHEREAS, the Tribal Council has the power, pursuant to Article VII, Section 1(a) and 1(i) of the Constitution, to manage all economic affairs and enterprises of the Tribe and to adopt resolution not inconsistent with the Constitution and By-Laws; and

WHEREAS, the Tribe through the Tribal Council has the inherent sovereign power and authority to promulgate and regulate economic affairs of the Tribe and to promote the peace, safety and general welfare of the Community; and

WHEREAS, the Tribe, through the Tribal Council has determined that in order to strengthen Community government it is in the best interests of the Community to update and amend in its entirety the Gaming Ordinance which was enacted on August 4, 1993 in Resolution 08-04A-1993 and approved by the NIGC on November 8, 1993.

NOW THEREFORE BE IT RESOLVED AND ORDAINED, the Tribal Council hereby enacts the attached Gaming Ordinance, which is updated, codified and amendment in its entirety; provided, that such new Gaming Ordinance shall not become effective until approve by the NIGC.

BE IT FURTHER ORDAINED, that the Tribal Council authorize the Tribal Chairman and/or the Sokaogon Gaming Chairperson to submit the attached Gaming Ordinance to the NIGC for approval and to execute all applicable paperwork to accomplish the purpose of this resolution.

CERTIFICATION

I, the undersigned Tribal Secretary, hereby certify that Resolution 08 – 04A - 2025 was duly adopted by the Sokaogon Chippewa Tribal Council, composed of 6 members of whom 5 were present, which constitutes a quorum, held on the 4th day of August, 2025 by a vote of 5 member(s) for: and 0 member(s) against; and 0 member(s) abstaining; and 1 member(s) absent.


Maia Kegley
Secretary

CHAPTER 8 – GAMING ORDINANCE

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8.1 Purpose The Tribal Council of the Sokaogon Chippewa Community empowered by the Tribe's Constitution to enact ordinances, hereby enacts this ordinance in order to govern and regulate the operation of class II and/or class III gaming operations on the Tribe's Indian lands.

Compliance Assurance This ordinance shall be interpreted and implemented in a manner consistent with Indian Gaming Regulatory Act, National Indian Gaming Commission regulations, and all applicable federal and state laws. The Sokaogon Gaming Commission shall maintain active communication with regulatory agencies to ensure continuous compliance and effective operation of the Tribe's gaming operations.

8.2. Applicability Unless specifically indicated otherwise, all provisions of this ordinance shall apply to class II and/or class III gaming on the Tribe's Indian lands.

8.3 Definitions

The following terms shall have the same meaning and effect as those same terms as defined in the Indian Gaming Regulatory Act ("IGRA"), 25 U.S.C. §§ 2701 et seq., and the National Indian Gaming Commission ("NIGC") regulations, 25 C.F.R. §§ 500 et seq., if they are defined in IGRA and the NIGC's regulations

- A. Class I gaming.
 - 1. Social games played solely for prizes of minimal value; or
 - 2. Traditional forms of Indian gaming when played by individuals in connection with tribal ceremonies or celebrations
- B. Class II gaming.
 - 1. Bingo or lotto (whether or not electronic, computer or other technologic aids are used) when players:
 - a. Play for prizes with cards bearing numbers or other designations;
 - b. Cover numbers or designations when objects, similarly numbered or designated, are drawn or electronically determined; and
 - c. Win the game by being the first person to cover a designated pattern on such cards;
 - 2. Pull-tabs, punch boards, tip jars, instant bingo and other games similar to bingo, if played in the same location as bingo or lotto;
 - 3. Non-banking card games that:
 - a. State law explicitly authorizes, or does not explicitly prohibit, and are played legally anywhere in the state; and
 - b. Players play in conformity with state laws and regulations concerning hours, periods of operation, and limitations on wagers and pot sizes;
- C. Class III gaming. All forms of gaming that are not class I or class II gaming, including, but not limited to:
 - 1. Any house banking game, including but not limited to
 - a. Card games such as baccarat, chemin de fer, blackjack (21), and pai gow (if played as house-banking games); and
 - b. Casino games such as roulette, craps, and keno
 - 2. Any slot machines, as defined in 15 U.S.C. § 1711(a)(1), and electronic or electromechanical facsimiles of any game of chance:

3. Any sports betting and pari-mutuel wagering, including but not limited to, wagering on horse racing, dog racing or jai alai; or
4. Lotteries
- D. Commission. The Sokaogon Gaming Commission established to perform regulatory oversight and to monitor compliance with tribal, federal and applicable state regulations.
- E. Commissioner. A Sokaogon Gaming Commissioner.
- F. Directly related to a spouse, child, parent, grandparent, grandchild, aunt, uncle, or first cousin.
- G. Director. A member of the Tribal Gaming Board of Directors
- H. Facility License. A separate license issued by Sokaogon Gaming Commission to each place, facility or location on Indian lands where the Tribe elects to allow class II or III gaming.
- I. Gaming Enterprise. Means the entities through which tribe conducts, regulates, and secures gaming on Indian lands within such tribe's jurisdiction pursuant to the Indian Gaming Regulatory Act.
- J. Gaming Operation. Each economic entity that is licensed by the Sokaogon Gaming Commission, operates the games, receives the revenues, issues the prizes, and pays the expenses. A gaming operation may be operated by the Tribe directly; by a management contractor; or, under certain conditions, by another person or entity.
- K. Indian lands
 1. Land within the limits of an Indian reservation; or
 2. Land over which an Indian tribe exercises governmental power and that is either;
 - a. Held in trust by the United States for the benefit of any Indian tribe or individual; or
 - b. Held by an Indian tribe or individual subject to restriction by the United States against alienation.
- L. Key Employee.
 1. Bingo Caller;
 2. Counting Room Supervisor;
 3. Chief of security;
 4. Floor Manager
 5. Pit Boss
 6. Dealer
 7. Croupier
 8. Approver of Credit
 9. Custodian of gaming systems as defined in 25 CFR 547.2 and similar class III systems, gaming cash or gaming cash equivalents, gaming supplies or gaming system records
 10. Custodian of surveillance systems or surveillance system records.
 11. Any gaming operation employee authorized by the gaming operation for unescorted access to secured gaming areas designated as secured gaming areas by the Sokaogon Gaming Commission;

12. If not otherwise licensed as a key employee or primary management official, the four persons most highly compensated by the gaming operation;
 13. Any other employee of any gaming operation as documented by the Sokaogon Gaming Commission as a key employee.
- M. Licensee. A tribally owned class II or class III gaming operation or a person licensed by the Sokaogon Gaming Commission as a primary management official, key employee or other gaming employee under the provisions of this ordinance.
 - N. Management Contract. Any contract, subcontract or collateral agreement between an Indian tribe and a contractor or between a contractor and a subcontractor if such contract or agreement provides for the management of all or part of a gaming operation.
 - O. Minor Employee. A worker aged 16 or 17 employed in positions approved under the provisions of this ordinance.
 - P. Net Revenues. Gross gaming revenues of an Indian gaming operation less:
 1. Amounts paid out as, or paid for, prizes; and
 2. Total gaming-related operating expenses, including all those expenses of the gaming operation commonly known as operating expenses and non-operating expenses consistent with professional accounting pronouncements, excluding management fees.
 - Q. Non-Gaming Licensee Employee. Any employee hired by non-gaming licensees approved by the Sokaogon Gaming Commission.
 - R. Primary Management Official.
 1. The person(s) having management responsibility for a management contract.
 2. Any person who has authority:
 - a. To hire and fire employees; or
 - b. To establish policy for the gaming operation; or
 3. The chief financial officer or a position with duties similar to a chief financial officer.
 4. The General Manager or a position with duties similar to a General Manager.
 5. Any other employed management official of the gaming enterprise or gaming operation as documented by the Sokaogon Gaming Commission as a primary management official.
 - S. Sokaogon Gaming Commission. *Sokaogon Gaming Commission* (SGC) means the independent governmental entity authorized by tribal law to regulate gaming conducted pursuant to the Indian Gaming Regulatory Act also known as the Commission.
 - T. Tribal-State Compact. An agreement between a tribe and state about class III gaming under 25 U.S.C. § 2710(d).
 - U. Tribe. The Sokaogon Chippewa Community

8.4 Gaming Authorized

Class II and/or class III gaming are authorized to be conducted on the Tribe's Indian lands, if such gaming is conducted in accordance with this ordinance, the Indian Gaming Regulatory Act, the NIGC's regulations, and any other applicable laws or regulations.

8.5 Ownership of Gaming

- A. The Tribe shall have the sole proprietary interest in and responsibility for the conduct of any gaming operation authorized by this Ordinance, except as expressly provided in this Ordinance.
- B. No person or entity, other than the Tribe, shall conduct gaming without obtaining a license from the Sokaogon Gaming Commission.
- C. The Sokaogon Gaming Commission may issue a license for individually-owned gaming so long as:
 - 1. The individually owned gaming operation is licensed and regulated pursuant to this Ordinance;
 - 2. The income to the Tribe from an individually owned gaming operation is used only for the purposes listed in this Ordinance;
 - 3. Not less than 60 percent of the net revenues of the individually owned gaming operation is income to the Tribe;
 - 4. The owner of the individually owned gaming pays an annual assessment to NIGC pursuant to 25 C.F.R. § 514.1; and
 - 5. The Sokaogon Gaming Commission applies licensing standards that are at least as restrictive as those established by State law governing similar gaming;
 - 6. The Sokaogon Gaming Commission determines that the owner of the individually owned gaming would be eligible to receive a State license to conduct the same activity within the jurisdiction of the surrounding State

8.6 Use of Net Gaming Revenues

Net revenues from Tribal gaming shall be used only for the following purposes:

- A. To fund Tribal government operations or programs;
- B. To provide for the general welfare of the Tribe and its members;
- C. To promote Tribal economic development;
- D. To donate to charitable organizations; or
- E. To help fund operations of local government agencies.

8.7 Per Capita Payments

- A. Net revenues from any class II and/or class III gaming activities conducted or licensed by the Tribe may be used to make per capita payments to Tribal members if:
 - 1. The Tribe has prepared a plan to allocate revenues to one or more of the five uses authorized by section 8.6 of this ordinance;
 - 2. The plan is approved by the Secretary of the Interior as adequate, particularly with respect to the uses described in sections 8.6(A) and 8.6(C) of this ordinance;
 - 3. The interests of minors and other legally incompetent persons who are entitled to receive any of the per capita payments are protected and preserved, and the per capita payments are disbursed to the parents or legal

guardian of such minors or legal incompetents in such amounts as may be necessary for the health, education, or welfare of the minor or other legally incompetent person; and

4. The per capita payments are subject to Federal taxation and the Tribe notifies its members of such tax liability when payments are made.

8.8 Gaming Commission

- A. The Tribe hereby establishes Sokaogon Gaming Commission ("Commission") to regulate the Tribe's gaming operations. The Commission shall consist of up to 5 members but no less than 3 members, including a Chair, Vice-Chair and at least one additional Commissioner.
- B. The Sokaogon Gaming Commission will conduct oversight to ensure compliance with Tribal, federal and, if applicable, state laws and regulations. It will serve as the licensing authority for individuals employed in the gaming operation and will administer background investigations as part of the licensing process. The Commission will also have a role in monitoring compliance with the gaming operation's internal controls and in tracking gaming revenues. In order to carry out its regulatory duties, the Commission shall have unrestricted access to all areas of the gaming operation and to all of its records. The Commission shall have authority to take enforcement actions, including suspension or revocation of an individual gaming license, when appropriate.
- C. Commissioner Positions shall be filled in the following manner: Through appointment by the Tribal Council commencing on **July 1st** of the year of appointment.
- D. Terms of office for Commissioners shall be as follows: the Chair shall serve an initial term of two (2) years, with subsequent Chairs serving 5-year terms; and the Vice-Chair and Commissioner(s) shall serve an initial term of two (2) years, with subsequent Vice-Chairs and Commissioners serving 5-year terms.
- E. The following persons are not eligible to serve as Commissioners: Tribal Council members, while serving as such; current employees of the gaming operation; gaming contractors (including any principal of a management, or other contracting company); persons directly related to, or sharing a residence with, any of the above; and persons ineligible to be key employees or primary management officials. Tribal members previously convicted of any felony or misdemeanor offense of embezzlement, theft or any other money-related or honesty-related misdemeanor offense, such as fraud, cannot serve as Commissioner. Tribal members previously convicted of any felony or misdemeanor offense of embezzlement, theft or any other offense related to money or honesty, such as fraud, will only be allowed to serve as a Commissioner if the Tribal Council specifically finds that a significant amount of time has passed and the person is now of trustworthy character.

- F. The Tribal Council shall require a criminal history check with appropriate law enforcement agencies for each Commissioner candidate; shall review the candidate's criminal history check results; and shall make an appropriate eligibility determination before appointing an individual to the position of Commissioner.
- G. The Tribe recognizes the importance of an independent Tribal Gaming Commission in maintaining a well-regulated gaming operation. The Commission shall be independent of, and act independently and autonomously from, the Tribal Council in all matters within its purview. No prior, or subsequent, review by the Tribal Council of any actions of the Commission shall be required or permitted except as otherwise explicitly provided in this ordinance. To avoid potential conflicts of interest between the operation and regulation of the gaming facility, the Tribe requires that, at a minimum:
1. No member of the Tribal Council or Tribal Gaming Board of Directors may serve on the Sokaogon Gaming Commission;
 2. Members of the Commission are prohibited from gambling in the facility;
 3. Commissioners are prohibited from accepting complimentary items from the gaming operation; excepting approved employee/tribal discount at any of the food and beverage areas.
 4. Commissioners may only be removed from office by the Tribal Council, prior to the expiration of their respective terms, for neglect of duty, misconduct, malfeasance or other acts that would render a Commissioner unqualified for the position.
- H. Nominees for Commissioner Positions must satisfy the eligibility standards set forth for primary management officials and key employees found in section 8.20 of this ordinance. All requisite background investigations shall be performed under the direction of the Gaming Commission Background Investigator.
- I. The Sokaogon Gaming Commission shall:
1. Conduct background investigations, or cause such investigations to be conducted, for primary management officials and key employees;
 2. Review and approve all investigative work conducted in connection with the background investigations of primary management officials and key employees;
 3. Create and maintain investigative reports based on the background investigations of primary management officials and key employees;
 4. Designate a law enforcement agency or employee to obtain and process fingerprints and conduct a criminal history check that shall include a check of criminal history records information maintained by the Federal Bureau of Investigation;

5. Make licensing eligibility determinations, which shall be signed by the Commission;
6. Submit a notice of results to the NIGC of the background investigations done for each primary management official and key employee applicant;
7. Issue licenses to primary management officials and key/non-key, non-gaming employees of the operation or associated facilities, if warranted by the eligibility determination;
8. Establish standards for licensing Tribal gaming facilities;
9. Issue licenses to Tribal gaming facilities;
10. Inspect, examine and monitor all of the Casino's gaming activities, and have immediate access to review, inspect, examine, photocopy and audit all records of the gaming facilities and operations;
11. Ensure compliance with all Tribal, federal and applicable state laws, rules and regulations regarding Indian gaming;
12. Investigate any suspicion of wrongdoing associated with any gaming activities;
13. Hold hearings on patron complaints, in accordance with procedures established in this ordinance and the Tribal gaming regulations;
14. Comply with any and all reporting requirements under IGRA, the NIGC's regulations and any tribal-state compact to which the Tribe is a party, and any other applicable law;
15. Promulgate and issue regulations necessary to comply with applicable internal control standards;
16. Promulgate and issue regulations on the levying of fees and/or taxes associated with license applications;
17. Promulgate and issue regulations on the levying of fines and/or the suspension or revocation of licenses for violations of this ordinance or any Tribal, federal or applicable state gaming regulations;
18. Establish a list of persons not allowed to game in the Tribe's gaming facilities in order to maintain the integrity of the gaming operation;
19. Establish a list of persons who have voluntarily agreed to be excluded from the Tribal gaming facilities, and create regulations for enforcing the exclusions;
20. Provide referrals and information to the appropriate law enforcement officials when such information indicates a violation of Tribal, federal or state statutes, ordinances, regulations, codes or resolutions;
21. Create a list of regulatory authorities that conduct background investigations of, and licenses, vendors who are recognized as trustworthy;
22. Draft regulations exempting vendors from the licensing and/or background investigation requirements if they have received a license from a recognized regulatory authority;
23. Perform such other duties the Commission deems appropriate for the proper regulation of the Tribal gaming operation; and

24. Promulgate such regulations and guidelines as deemed appropriate to implement the provisions of this ordinance, so long as they are in furtherance of, and not in conflict with, any provisions of this ordinance.
- J. Before adopting, amending and repealing regulations, the Commission shall give notice of any such proposed action to the Tribal Council, the gaming operation(s) and all other persons whom the Commission has reason to believe have a legitimate interest in the proposed action. The notice shall invite comments and describe the general nature of the proposed action and the way comments on the proposed action shall be received by the Commission.
- K. The Commission shall ensure that all records and information obtained as a result of an employee background investigation, including but not limited to, the identity of each person interviewed in the course of an investigation, shall remain confidential and shall not be disclosed to any persons who are not directly involved in the licensing and employment processes
- L. The confidentiality requirements in section 8.8(K), above, do not apply to requests for such records or information from any Tribal, federal or state law enforcement or regulatory agency, or for the use of such records or information by the Commission and staff in the performance of their official duties.
- M. A majority of the Commission shall constitute a quorum. The concurrence of a majority of the Commissioners shall be required for any final determination by the Commission. The Commission may act in its official capacity, even if there are vacancies on the Commission.
- N. Commissioners shall be compensated at a level determined by the Tribal Council. To ensure the Commission is not improperly influenced, a Commissioner's compensation shall not be based on a percentage of gaming revenue.
- O. The Commission shall keep a written record of all its meetings.
- P. Qualifications of Commissioners. All persons appointed as a Commissioner:
1. Shall be at least 21 years of age;
 2. Shall have been an enrolled member of the Tribe for not less than one year prior to appointment;
 3. Have a High school diploma or GED;
 4. Have a minimum of three (3) years of education experience, employment experience and/or regulatory experience in Gaming Operations related to Gaming Activity, Gaming law, Gaming control or regulation, or Gaming accounting or of any combination of the foregoing;
 5. Meet all other qualifications applicable to Gaming personnel licensees as set forth in this Ordinance;

6. Shall have no financial or proprietary interest in any contract with, or be an employee of, the Corporation in any capacity; and
7. Shall meet the eligibility standards set in section 8.20.

Q. Oversight of the Surveillance Department

1. Operational Oversight:

The Commission shall oversee all operations of the Surveillance Department to ensure compliance with applicable Tribal, federal, and state gaming laws, regulations, and internal control standards. This includes:

- a. Establishing and approving surveillance policies, procedures, and internal controls.
- b. Monitoring compliance with regulations to maintain the integrity of gaming operations.
- c. Ensuring surveillance coverage of all gaming operations and other areas required by law or regulation.

2. Personnel Management:

The Commission shall have the authority to hire, discipline, and terminate Surveillance Department personnel, subject to the following guidelines:

- a. Ensure personnel meet eligibility criteria consistent with those for key employees and primary management officials.
- b. Conduct and approve background checks, training, and certification for all Surveillance Department employees.
- c. Maintain confidentiality and professionalism during the recruitment, review, and termination processes.

3. System Oversight and Maintenance:

The Commission shall ensure that the Surveillance Department's equipment and systems are up-to-date, operational, and compliant with legal and technical requirements:

- a. Approve and monitor the installation, maintenance, and replacement of surveillance equipment.
- b. Conduct regular audits of surveillance system performance and footage retention processes.
- c. Ensure systems meet National Indian Gaming Commission (NIGC) standards and other applicable laws.

4. Access and Confidentiality:

The Commission shall establish protocols to ensure the security and confidentiality of surveillance data:

- a. Limit access to surveillance footage to authorized personnel only.
- b. Maintain records of all access to and use of surveillance footage.
- c. Develop guidelines for the secure storage and retention of surveillance records as required by Tribal and federal law.

5. Incident Response:

The Commission shall oversee the Surveillance Department's response to incidents, including:

- a. Reviewing surveillance footage related to gaming operations, patron disputes, and other incidents as necessary.
- b. Coordinating with law enforcement and regulatory agencies in cases of suspected violations or criminal activities.
- c. Ensuring the timely and accurate reporting of incidents to the Gaming Commission, Tribal Council, and regulatory bodies.

6. Reporting and Accountability:

The Surveillance Department shall report directly to the Gaming Commission, which will:

- a. Review and approve all surveillance logs, reports, and summaries of significant incidents.
- b. Conduct regular meetings with the Surveillance Department to review performance, compliance, and operational concerns.
- c. Present reports on the department's activities to the Tribal Council, as required.

7. Training and Development:

The Commission shall ensure that all Surveillance Department personnel receive adequate training and resources to carry out their duties effectively:

- a. Approve training programs on surveillance systems, gaming regulations, and incident response.
- b. Monitor employee compliance with ongoing education and professional development requirements.

8. Audit and Evaluation:

The Commission shall conduct regular audits and evaluations of the Surveillance Department, including:

- a. Internal reviews of operational efficiency and compliance with established policies and standards.

b. Independent external audits of surveillance operations, as needed.

9. Policy Updates:

The Commission shall periodically review and update surveillance policies and procedures to reflect changes in regulations, technology, or operational needs.

10. Coordination with Other Departments:

The Commission shall establish guidelines for cooperation between the Surveillance Department and other departments, including:

- a. Security and Compliance teams for incident investigations and risk management.
- b. Human Resources for employee-related issues and training coordination.

R. Conflicts of Interest Prohibited

No member of Sokaogon Gaming Commission shall:

- 1. Be employed by the Corporation or be a PMO or owner or controlling person with respect to any contract with the Corporation or the Tribe, while serving on Sokaogon Gaming Commission for a period of three months from the termination of service on Sokaogon Gaming Commission.
- 2. Participate in the approval, denial, renewal, suspension, or revocation of any application for a License by any immediate family member.
- 3. Engage in any business, transaction or professional activity or incur any obligation of any nature which conflicts with the proper discharge of his or her official duties in administering this Ordinance. Provided that a member of Sokaogon Gaming Commission who may engage in a conflicting activity or incur a conflicting obligation shall promptly disclose that activity or obligation to Sokaogon Gaming Commission and refrain from voting on any matter regarding any such activity or obligation which may constitute a conflict.

8.9 Audits

- A. The Sokaogon Gaming Commission shall cause to be conducted independent audits of gaming operations annually and shall submit the results of those audits to the NIGC and OIGRC.
- B. Annual audits shall conform to generally accepted auditing standards.
- C. All gaming-related contracts that result in the purchase of supplies, services or concessions for more than \$25,000 in any year (except contracts for professional legal and accounting services) shall be specifically included

within the scope of the audit conducted under section 8.9(A) of this ordinance.

- D. Copies of the annual audit of each licensed gaming operation, and each audit for supplies, services or concessions of each gaming operation, shall be furnished to the NIGC within 120 days after the end of each fiscal year of the gaming operation.
- E. The Gaming Commission shall be responsible for issuing or coordinating the Internal Audit.

8.10 Environment and Public Health and Safety

- A. Each gaming facility shall be constructed, maintained, and operated in a manner that adequately protects the environment and the health and safety of the public.
- B. Sokaogon Gaming Commission shall identify and enforce laws, resolutions, codes, policies, standards, or procedures, which are applicable to each gaming place, facility or location, to ensure adequate protection of the environment and the health and safety of the public.

8.11 Patron Dispute Resolution

- A. For disputes involving a patron and a Gaming Operation, the dispute shall first be submitted in writing to the Gaming Operation, which shall render a written decision on the dispute, clearly stating the reasons for the determination.
- B. If thereafter the patron is not satisfied with the decision of the Gaming Operation, the patron may submit the dispute to the Sokaogon Gaming Commission. The dispute must be submitted to the Gaming Commission within 180 days of issuance of the Gaming Operation decision.
- C. Upon receipt of the dispute, the Gaming Commission may, at its discretion, request additional information from the patron and the Gaming Operation.
- D. The Gaming Commission shall issue its decision in writing to the patron and the Gaming Operation.
- E. The Commission's decision shall constitute the complainant's final remedy.
- F. Each Gaming Operation shall publish procedures for impartial resolution of patron disputes concerning the conduct of the game, which shall be made available to patrons upon request.

8.12 Facility Licenses

- A. The Sokaogon Gaming Commission shall issue a separate license to each place, facility or location on Indian lands where Class II and/or Class III gaming is conducted under this ordinance.
- B. The Sokaogon Gaming Commission is responsible for issuing new or renewed facility licenses to each place, facility or location.
- C. The Sokaogon Gaming Commission shall require that a facility license application be completed by the General Manager and/or the lead primary

management official of the gaming facility for each gaming place, facility or location.

- D. The Sokaogon Gaming Commission shall identify the environmental, health and public safety standards with which the place, facility or location must comply, and specify the form, conditions and content of a facility license application. The application shall include:
- E. A legal description of the lands upon which the facility is located, and a certification that the site constitutes "Indian lands," as defined in IGRA, the NIGC's regulations, the NIGC Office of General Counsel and DOI Solicitor Offices' Indian lands legal opinions, judicial decisions and any other applicable law.
- F. The Sokaogon Gaming Commission shall only issue a facility license if the application includes the required information and documentation, and sufficiently satisfies any additional conditions deemed necessary by the Sokaogon Gaming Commission.
- G. The Sokaogon Gaming Commission shall submit to the NIGC Chair a notice that issuance of a facility license is under consideration by the Sokaogon Gaming Commission. This notice must be submitted at least 120 days before the opening of any new place, facility or location on Indian lands where class II and/or class III gaming will occur.
- H. The Sokaogon Gaming Commission shall submit a copy of each newly issued or renewed facility license to the NIGC Chair within 30 days of issuance, along with any other required documentation.
- I. The Sokaogon Gaming Commission shall notify the NIGC Chair within 30 days if a facility license is terminated or expires, or if a gaming place, facility, or location closes or reopens.

8.13 Agent for Service of Process

The Tribe designates the Tribal Chairperson and the Gaming Commission Chairperson as the agent for service of any official determination, order or notice of violation.

8.14 Tribal Access to Financial Information

A copy of the Tribal gaming operation's annual audit will be made available for review, upon request, to the Tribal Council.

8.15 License Application Forms

A. Application for Key Employees or Primary Management Officials:

- 1. The following notice shall be placed on the Tribe's license application form for a key employee or a primary management official before it is filled out by an applicant:

In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of the information on this form is authorized by 25 U.S.C. 2701 et seq. The purpose of the requested information is to

determine the eligibility of individuals to be granted a gaming license. The information will be used by the Tribal gaming regulatory authorities and by the National Indian Gaming Commission (NIGC) members and staff who have need for the information in the performance of their official duties. The information may be disclosed by the Tribe or the NIGC to appropriate Federal, Tribal, State, local, or foreign law enforcement and regulatory agencies when relevant to civil, criminal, or regulatory investigations or prosecutions or when pursuant to a requirement by a tribe or the NIGC in connection with the issuance, denial, or revocation of a gaming license, or investigations of activities while associated with a tribe or a gaming operation. Failure to consent to the disclosures indicated in this notice will result in a tribe's being unable to license you for a primary management official or key employee position.

The disclosure of your Social Security Number (SSN) is voluntary. However, failure to supply a SSN may result in errors in processing your application.

2. The following notice shall be placed on the application form for a key employee or a primary management official before it is filled out by an applicant:

A false statement on any part of your license application may be grounds for denying a license or suspension or revocation of a license. Also, you may be punished by fine or imprisonment (U.S. Code, title 18, section 1001).

B. General Requirements

1. All applicants, including key, non-key, and non-gaming employees, must complete a license application form as provided by the Sokaogon Gaming Commission.
2. The license application form must be filled out accurately, completely, and truthfully. Any omissions or false statements may be grounds for denial, suspension, or revocation of a license.

C. Non-Gaming Employee License Applications

1. The license application form shall include a section specifically for non-gaming employees working in facilities associated with gaming operations, such as hotels, restaurants, event centers, and coffee shops.
2. Non-gaming employee applications must include the following:
 - a. Full name, contact information, and other personal identification details.

- b. Previous employment history for the last five (5) years, including business names, positions held, and contact information for references.
- c. A declaration of any previous or ongoing legal or regulatory actions, including criminal charges or civil litigation.
- d. Any previous employment or business relationships with the gaming industry or related fields.
- e. Written acknowledgment of the Tribe's rules and regulations regarding their employment roles.

D. Notice for All Applicants

A false statement on any part of your license application may be grounds for denying a license or suspension or revocation of a license.

E. Additional Requirements for Applicants Aged 16 or Older

- 1. Applications from employees aged 16 to 17 must include written parental or guardian consent and confirmation of compliance with applicable labor laws.
- 2. The Sokaogon Gaming Commission shall ensure that these employees' roles are limited to non-key, supervised positions and that they do not conflict with applicable federal and state labor regulations.

F. Application Updates and Renewals

- 1. Licensees are required to notify the Sokaogon Gaming Commission of any changes to the information provided on the application within thirty (30) days.
- 2. Licenses for gaming and non-gaming employees must be renewed periodically, as determined by the Sokaogon Gaming Commission's regulations, and employees must submit updated application information as part of the renewal process.

8.16 License Fees

- A. The Tribe may charge a license fee, to be set by the Sokaogon Gaming Commission, to cover its expenses in investigating and licensing key/non-key employees, primary management officials and the facility license of the gaming operation.
- B. The Tribe may charge a licensing fee, to be set by the Sokaogon Gaming Commission, to cover its expenses in investigating and licensing non-gaming employees working in associated facilities.

8.17 Background Investigations

- A. The Sokaogon Gaming Commission shall perform a background investigation for each primary management official and for each key employee of the gaming enterprise and gaming operation. The investigation must be sufficient to allow the Sokaogon Gaming Commission to make an eligibility determination under section 8.20 of this ordinance.
- B. The Sokaogon Gaming Commission is responsible for conducting the background investigations of primary management officials and key employees. The background investigation shall include a check of criminal history records information maintained by the Federal Bureau of Investigations.
- C. The Sokaogon Gaming Commission shall request fingerprints from each primary management official and key employee. The Sokaogon Gaming Commission designated person or Background Investigator will take fingerprints.
- D. The Sokaogon Gaming Commission shall request from each primary management official and key employee all the following information:
 - 1. Full name, other names used (oral or written), social security number, birth date, place of birth, citizenship, gender and all languages (spoken and/or written);
 - 2. Currently, and for the previous five (5) years; business and employment positions held, ownership interests in those businesses, business and residential addresses, and driver's license numbers;
 - 3. The names and current addresses of at least three (3) personal references, including one (1) personal reference who was acquainted with the applicant during each period of residence listed under section 8.17(D)(2);
 - 4. Current business and residential telephone numbers, and all cell phone numbers;
 - 5. A description of any existing and previous business relationships with other tribes, including any ownership interests in those businesses;
 - 6. A description of any existing and previous business relationships with the gaming industry generally, including ownership interests in those businesses;
 - 7. The name and address of any licensing or regulatory agency with which the person has filed an application for a license or permit related to gaming, whether or not such license or permit was granted;
 - 8. For each felony for which there is an ongoing prosecution or a conviction, the charge, the name and address of the court involved, and the date of disposition, if any;
 - 9. For each misdemeanor conviction or ongoing misdemeanor prosecution (excluding minor traffic violations) within 10 years of the date of the application, the name and address of the court involved and the date of disposition, if any;

10. For each criminal charge (excluding minor traffic charges), whether or not there is a conviction, if such criminal charge is within 10 years of the date of the application, and is not otherwise listed pursuant to sections 8.17(D)(8) or 8.17(D)(9), the criminal charge, the name and address of the court involved, and the date of disposition, if any;
 11. The name and address of any licensing or regulatory agency with which the person has filed an application for an occupational license or permit, whether or not such license or permit was granted;
 12. A photograph;
 13. Any other information the Sokaogon Gaming Commission deems relevant; and
 14. Fingerprints obtained in accordance with procedures adopted by the Tribe.
- E. When a primary management official or key employee is employed by the Tribe, a complete application file, containing all of the information listed in section 8.17(D), shall be maintained.

8.18 Procedures for Conducting Background Investigations

- A. The Sokaogon Gaming Commission, or its agent, shall employ or engage an investigator to conduct a background investigation of each applicant for a primary management official or key employee position. The investigator shall:
 1. Verify the applicant's identity through items such as a social security card, driver's license, birth certificate or passport;
 2. Contact each personal and business reference provided in the license application, when possible;
 3. Conduct a personal credit check;
 4. Conduct a civil history check;
 5. Conduct a criminal history records check;
 6. Based on the results of the criminal history records check, as well as information acquired from an applicant's self-reporting or from any other source, obtain information from the appropriate court regarding any past felony and/or misdemeanor convictions or ongoing prosecutions within the past 10 years;
 7. Inquire into any previous or existing business relationships with the gaming industry, including with any tribes with gaming operations, by contacting the entities or tribes;
 8. Verify the applicant's history and current status with any licensing agency by contacting the agency; and
 9. Take other appropriate steps to verify the accuracy of the information, focusing on any problem areas noted.

8.19 Investigative Reports

- A. Sokaogon Gaming Commission shall create and maintain an investigative report for each background investigation of a primary management official or key employee.
- B. Investigative reports shall include all the following information:
 - 1. Steps taken in conducting the investigation;
 - 2. Results obtained;
 - 3. Conclusions reached; and
 - 4. The basis for those conclusions.

8.20 Eligibility Determinations

- A. Before a license is issued to a primary management official or key employee, Sokaogon Gaming Commission shall make a finding concerning the eligibility of that person for receiving a gaming license by reviewing the applicant's prior activities, criminal record, if any, and reputation, habits and associations.
- B. If the Sokaogon Gaming Commission, in applying the standards adopted in this ordinance, determines that licensing the person poses a threat to the public interest or to the effective regulation of gaming, or creates or enhances the dangers of unsuitable, unfair or illegal practices, methods and/or activities in the conduct of gaming, he or she shall not license that person in a key employee or primary management official position.
- C. Copies of the eligibility determination shall be included with the notice of results that must be submitted to the NIGC before the licensing of a primary management official or key employee.

8.21 Notice of Results of Background Investigations

- A. Before issuing a license to a primary management official or key employee, the Sokaogon Gaming Commission shall prepare a notice of results of the applicant's background investigation to submit to the NIGC.
- B. The notice of results must be submitted to the NIGC no later than 60 days after the applicant begins working for the Gaming Operation, as required by the Indian Gaming Regulatory Act and any updated NIGC regulations. The Gaming Commission shall review submission deadlines periodically to ensure compliance with all federal regulatory requirements.
- C. The notice of results shall include the following information:
 - 1. The applicant's name, date of birth and social security number;
 - 2. The date on which the applicant began, or will begin, working as a primary management official or key employee;
 - 3. A summary of the information presented in the investigative report, including:
 - a. licenses that have previously been denied;
 - b. gaming licenses that have been revoked, even if subsequently reinstated;
 - c. every known criminal charge brought against the applicant within the last 10 years of the date of the application; and

- d. every felony offense of which the applicant has been convicted or any ongoing prosecution; and
- 4. A copy of the eligibility determination made in accordance with section 8.20.

8.22 Granting Gaming Licenses

- A. All primary management officials, key, non-key and non-gaming employees of the gaming operation or associated facilities must have a license issued by the Sokaogon Gaming Commission.
- B. The Sokaogon Gaming Commission is responsible for granting and issuing licenses to primary management officials, key, non-key and non-gaming employees.
- C. The Sokaogon Gaming Commission may license a primary management official or key employee applicant after submitting a notice of results of the applicant's background investigation to the NIGC, as required by section 8.21.
- D. The Sokaogon Gaming Commission shall notify the NIGC of the issuance of a license to a primary management official or key employee within 30 days of issuance.
- E. The Gaming Operation shall not employ an individual in a primary management official or key employee position who does not have a license after 90 days of beginning work at the gaming operation.
- F. Employees aged 16 or older may be eligible for non-key positions in Class II gaming operations provided they work under appropriate supervision and comply with federal and state labor laws applicable to minors.
- G. The Sokaogon Gaming Commission must reconsider a license application for a primary management official or key employee if it receives a statement of itemized objections to issuing such a license from the NIGC, and those objections are received within 30 days of the NIGC receiving a notice of results of the applicant's background investigation.
- H. The Sokaogon Gaming Commission shall take the NIGC's objections into account when reconsidering a license application.
- I. The Sokaogon Gaming Commission, the recognized licensing authority, will make the final decision whether to issue a license to an applicant in a primary management official, key, non-key or non-gaming employee position.
- J. If the Sokaogon Gaming Commission has issued a license to a primary management official or key employee before receiving the NIGC's statement of objections, notice and a hearing shall be provided to the licensee, as required by section 8.24.

8.23 Denying or Revoking a Gaming Licenses

- A. The Sokaogon Gaming Commission shall not license a primary management official or key employee if the Sokaogon Gaming Commission determines, in

applying the standards in section 8.20 for making a license eligibility determination, that licensing the person:

1. Poses a threat to the public interest;
 2. Poses a threat to the effective regulation of gaming; or
 3. Creates or enhances the dangers of unsuitable, unfair or illegal practices, methods and/or activities in the conduct of gaming.
- B. If the Sokaogon Gaming Commission does not issue a license to an applicant for a primary management official or key employee position it shall:
1. Notify the NIGC; and
 2. Forward copies of its eligibility determination and notice of results of the applicant's background investigation to the NIGC for inclusion in the Indian Gaming Individuals Record System.
- C. If the Sokaogon Gaming Commission revokes a key employee or primary management official's license, it shall:
1. Notify the NIGC; and
 2. Forward copies of its license revocation decision for inclusion in the Indian Gaming Individuals Record System.

8.24 Gaming License Suspensions and Revocations

- A. If, after a license is issued to a primary management official or a key employee, the Sokaogon Gaming Commission receives notice from the NIGC that the primary management official or key employee is not eligible for employment, the Sokaogon Gaming Commission shall do the following:
1. Immediately suspend the license;
 2. Provide the licensee with written notice of the suspension and proposed revocation; and
 3. Provide the licensee with notice of a time and place for a hearing on the proposed revocation of the license.
- B. Following a revocation hearing, the Sokaogon Gaming Commission shall decide whether to revoke or reinstate the license at issue.
- C. The Sokaogon Gaming Commission shall notify the NIGC of its decision to revoke or reinstate a license within 45 days of receiving notification from the NIGC that a primary management official or key employee is not eligible for employment.

8.25 Records Retention

The Sokaogon Gaming Commission shall retain, for no less than three years from the date a primary management official or key employee is terminated from employment with the Gaming Operation, the following documentation:

- A. Application for licensing;
- B. Investigative Reports;
- C. Eligibility Determinations;
- D. Privacy Act notice; and
- E. False Statement notice.

8.26 Licenses for Vendors

Vendors of gaming services or supplies, with a value of \$25,000 or more annually, must have a vendor license from the Sokaogon Gaming Commission in order to transact business with the Tribal gaming operation. Contracts for professional legal and accounting services are excluded from this section 8.26.

8.27 Submission of a Vendor License Application

In order to obtain a gaming vendor license, the business must complete a vendor application and submit to background checks of itself and its principals. Principals of a business include those officers, directors, managers, owners, partners, and non-institutional stockholders that either own 10% or more of the business' stock or are the 10 largest stockholders, as well as the on-site supervisors or managers designated in an agreement with the Gaming Operation, if applicable.

8.28 Contents of the Vendor License Application

- A. Applications for gaming vendor licenses must include the following:
1. Name of business, business address, business telephone number(s), federal tax identification number (or social security number, if a sole proprietorship), main office address (if different from business address), any other names used by the applicant in business, and type of service(s) applicant will provide;
 2. Whether the applicant is a partnership, corporation, limited liability company, sole proprietorship or other entity;
 3. If the applicant is a corporation, the state of incorporation and the qualification to do business in the State of Wisconsin, if the gaming operation is in a different state than the state of incorporation.
 4. Trade name, other names ever used and names of any wholly owned subsidiaries or other businesses owned by the vendor or its principals;
 5. General description of the business and its activities;
 6. Whether the applicant will be investing in, or loaning money to, the gaming operation, and if so, how much;
 7. A description of any existing and previous business relationships with the gaming industry generally, including ownership interests in those businesses;
 8. A list of Indian tribes with which the vendor has an existing or previous business relationship, including ownership, financial or management interests in any non-gaming activity;
 9. Names, addresses and telephone numbers of three (3) business references with whom the company has regularly done business for the last five (5) years;
 10. The name and address of any licensing or regulatory agency with which the business has filed an application for a license or permit related to gaming, whether or not such license or permit was granted;

11. If the business has ever had a license revoked for any reason, the circumstances involved;
 12. A list of lawsuits to which the business has been a defendant, including the name and address of the court involved, and the date and disposition, if any;
 13. A list of the business' funding sources and any liabilities of \$50,000 or more;
 14. A list of the principals of the business, their social security numbers, addresses, telephone numbers, titles and percentage of ownership in the company; and
 15. Any further information the Sokaogon Gaming Commission deems relevant.
- B. The following notice shall be placed on the application form for a vendor and its principals:
1. Inclusion of false or misleading information in the vendor application may be grounds for denial or revocation of the Sokaogon Gaming Commission's vendor license.
- C. A vendor may submit to the Sokaogon Gaming Commission a copy of a recent license application to another jurisdiction if it contains the information listed above. The vendor will be required to submit, in writing, any changes in the information since the other license application was filed, and any information requested by the Sokaogon Gaming Commission not contained in the other application.

8.29 Vendor Background Investigations

The Sokaogon Gaming Commission shall employ or otherwise engage an investigator to complete an investigation of a gaming vendor. This investigation shall include, at a minimum, the following steps:

- A. Verification of the vendor's business' incorporation status and qualifications to do business in the state where the gaming operation is located;
- B. Obtaining a business credit report, if available, and conducting a Better Business Bureau check on the vendor;
- C. Conducting a check of the vendor's business' credit history;
- D. Calling and questioning each of the references listed in the vendor application; and
- E. Conducting an investigation of the principals of the vendor's business, including facilitating a criminal history check, obtaining criminal history check results, obtaining a credit report, and interviewing the personal references listed.

8.30 Vendor License Fees

The Tribe may charge a license fee, to be set by the Sokaogon Gaming Commission, to cover its expenses in investigating and licensing vendors of the gaming operation.

8.31. Vendor Background Investigation Reports

The investigator shall complete an investigative report covering each of the steps taken in the background investigation of the gaming vendor and its principals and present it to the Sokaogon Gaming Commission.

8.32 Vendors Licensed by Recognized Regulatory Authorities

The Sokaogon Gaming Commission may adopt regulations naming specific licensing authorities that it recognizes and may authorize exemptions to the vendor licensing process for vendors who have received a license from one of the named regulatory authorities.

8.33 Licensing Non-Gaming Employees

- A. **Licensing Requirement** Non-gaming employees working in facilities associated with gaming operations, including hotels, event centers, restaurants, and coffee shops, must obtain a license issued by the Sokaogon Gaming Commission. These employees include those in customer-facing roles, financial transaction roles, or other operational roles deemed relevant by the Commission.
- B. **Age Eligibility** Employees aged 16 or older may be licensed for non-key positions in these facilities, provided they work in compliance with applicable federal and state labor laws, including but not limited to the Fair Labor Standards Act (FLSA). The Sokaogon Gaming Commission shall ensure all work schedules, duties, and conditions of employment for minors meet or exceed labor law requirements, including restriction on hours worked, permitted job duties, and workplace safety standards.
- C. **Background Investigations** Background investigations for non-gaming employees shall follow the procedures outlined in sections 8.17 and 8.18, with modifications as appropriate for non-gaming roles. The investigation will ensure compliance with licensing requirements.
- D. **Licensing Standards** Non-gaming employees must meet the same general standards of conduct, honesty, and integrity as gaming employees, as determined by the Sokaogon Gaming Commission.

8.34 Periodic Review of Ordinance

The Sokaogon Gaming Commission shall conduct an annual review of this ordinance and its regulations to ensure compliance with Indian Gaming Commission's latest regulations, and any applicable federal or state laws. The Commission shall recommend updates to the Tribal Council as necessary to maintain alignment with legal and regulatory changes.

8.35 Compliance with Federal Law

The Gaming Operation shall comply with all applicable federal laws, including the Bank Secrecy Act, 31 U.S.C. § 5311 et seq.

8.36 Repeal

To the extent that they are inconsistent with this ordinance, all prior Tribal gaming ordinances are hereby repealed.

8.37 Effective Date

This ordinance shall take effect immediately upon its approval by the NIGC Chair.