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| **§ 543.14 - Patron Deposit Accounts and Cashless Systems** | |  |  |  |  |  |
| **(a)** | **Supervision** |  |  |  |  |  |
| 1. | Is supervision provided as needed for patron deposit accounts and cashless systems by an agent(s) with authority equal to or greater than those being supervised? (Observation, inquiry and review other – e.g.: organization chart, department schedules, job description) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(a) |  |
| **(b)** | **Patron deposit accounts and cashless systems** |  |  |  |  |  |
| 2. | Is account data maintained on a source other than a smart card? (Note: Smart cards cannot maintain the only source of account data.) (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(1) |  |
| 3. | When establishing a patron deposit account:  Does the patron appear at the gaming operation in person, at a designated area of accountability, and present valid government issued picture identification? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(2)(i) |  |
| 4. | When establishing a patron deposit account:  Does an agent examine the patron’s identification and record the following information:  Type, number, and expiration date of the identification? (Review supporting documentation and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(2)(ii)(A) |  |
| 5. | When establishing a patron deposit account:  Does an agent examine the patron’s identification and record the following information:  Patron’s name? (Review supporting documentation and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(2)(ii)(B) |  |
| 6. | When establishing a patron deposit account:  Does an agent examine the patron’s identification and record the following information:  A unique account identifier? (Review supporting documentation and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(2)(ii)(C) |  |
| 7. | When establishing a patron deposit account:  Does an agent examine the patron’s identification and record the following information:  Date the account was opened? (Review supporting documentation and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(2)(ii)(D) |  |
| 8. | When establishing a patron deposit account:  Does an agent examine the patron’s identification and record the following information:  The agent’s name? (Review supporting documentation and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(2)(ii)(E) |  |
| 9. | Is the patron required to sign the account documentation before the agent can activate the account? (Review supporting documentation and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(3) |  |
| 10. | Does the agent or cashless system provide the patron deposit account holder with a secure method of access? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(b)(4) |  |
| **(c)** | **Patron deposits, withdrawals and adjustments** |  |  |  |  |  |
| 11. | Prior to the patron making a deposit or withdrawal from a patron deposit account:  Does the agent or cashless system verify the patron deposit account? (Observation, inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(1) |  |
| 12. | Prior to the patron making a deposit or withdrawal from a patron deposit account:  Does the agent or cashless system verify the patron’s identity (A personal identification number (PIN) is an acceptable form of verifying identity)? (Observation, inquiry, and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(1) |  |
| 13. | Prior to the patron making a deposit or withdrawal from a patron deposit account:  Does the agent or cashless system verify the availability of funds? (Observation, inquiry, and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(1) |  |
| 14. | Are adjustments, as applicable, made to the patron deposit accounts performed by an agent? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(2) |  |
| 15. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Same document number on all copies? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(i) |  |
| 16. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Type of transaction, (deposit, withdrawal, or adjustment)? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(ii) |  |
| 17. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Name or other identifier of the patron? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(iii) |  |
| 18. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  The unique account identifier? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(iv) |  |
| 19. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Patron signature for withdrawals (unless a secured method of access is utilized)? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(v) |  |
| 20. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  For adjustments to the account, the reason for the adjustment? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(vi) |  |
| 21. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Date and time of transaction? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(vii) |  |
| 22. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Amount of transaction? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(viii) |  |
| 23. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Nature of deposit, withdrawal, or adjustment (cash, check, chips)? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(ix) |  |
| 24. | When a deposit, withdrawal, or adjustment is processed by an agent, is a transaction record created containing the following information:  Signature of the agent processing the transaction? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(3)(x) |  |
| 25. | When a patron deposits or withdraws funds from a patron deposit account electronically, is the following recorded:  Date and time of transaction? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(4)(i) |  |
| 26. | When a patron deposits or withdraws funds from a patron deposit account electronically, is the following recorded:  Location (player interface, kiosk)? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(4)(ii) |  |
| 27. | When a patron deposits or withdraws funds from a patron deposit account electronically, is the following recorded:  Type of transaction (deposit, withdrawal)? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(4)(iii) |  |
| 28. | When a patron deposits or withdraws funds from a patron deposit account electronically, is the following recorded:  Amount of transaction? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(4)(iv) |  |
| 29. | When a patron deposits or withdraws funds from a patron deposit account electronically, is the following recorded:  The unique account identifier? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(4)(v) |  |
| 30. | Are patron deposit account transaction records available to the patron upon reasonable request? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(5) |  |
| 31. | If electronic funds transfers are made to or from a gaming operation bank account for patron deposit account funds, is the bank account dedicated and not used for any other types of transactions? (Review SICS, inquiry, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(c)(6) |  |
| **(d)** | **Variances** |  |  |  |  |  |
| 32. | Has the gaming operation established a threshold level, at which a variance must be reviewed to determine the cause? (Review SICS)  State the type(s) of variance and threshold level(s) or percentage(s) : \_\_\_\_\_\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(d) |  |
| 33. | Has the gaming operation received TGRA approval for the variance threshold(s)? (Review TGRA approval ) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(d) |  |
| 34. | Are reviews of variances exceeding the established threshold(s) documented? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.14(d) |  |