



March 25, 2025

VIA EMAIL

Shawn Davis, Chairman
Scotts Valley Band of Pomo Indians
804 11th St
Lakeport CA, 95453

**Re: Scotts Valley Band of Pomo Indians Amended
Gaming Ordinance**

Dear Chairman Davis:

This letter responds to your request of March 7, 2025, on behalf of the Scotts Valley Band of Pomo Indians (Tribe) for the National Indian Gaming Commission's (NIGC) Acting Chairwoman to review and approve an amendment to the Tribe's gaming ordinance (Ordinance). The Ordinance was amended by Resolution No. S.V. #13-25 on March 7, 2025.

Thank you for bringing these amendments to our attention. The Ordinance, as noted above, is approved as it is consistent with the requirements of the Indian Gaming Regulatory Act and NIGC regulations. If you have any questions or require anything further, please contact Logan Takao Cooper at (503) 318-7524 or Logan.Takao-Cooper@nigc.gov.

Sincerely,

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

Sharon M. Avery
Acting Chairwoman

cc: Patrick R. Bergin, Counsel

MAILING ADDRESS: NIGC/DEPARTMENT OF THE INTERIOR 1849 C Street NW, Mail Stop #1621 Washington, DC 20040 Tel: 202.632.7003 Fax: 202.632.7066

REGIONAL OFFICES Portland, OR; Sacramento, CA; Phoenix, AZ; St. Paul, MN; Tulsa, OK; Oklahoma City, OK; Rapid City, SD
WWW.NIGC.GOV



SCOTTS VALLEY TRIBAL COUNCIL

RESOLUTION NO. S.V. # 13-25

**RESOLUTION FOR APPROVAL AND ENACTMENT BY THE TRIBAL COUNCIL OF
THE SCOTTS VALLEY BAND OF POMO INDIANS OF THE AMENDED AND
RESTATED GAMING ORDINANCE**

- WHEREAS, The Scotts Valley Band of Pomo Indians (“Band” or “Tribe”) is a sovereign, self-governing Indian Tribe formally recognized by the United States Government; and
- WHEREAS, The Band is organized under the Constitution of the Scotts Valley Band of Pomo Indians of the Sugar Bowl Reservation (“Constitution”), adopted and approved September 24, 1994; and
- WHEREAS, The jurisdiction of the Band extends to all those lands held in trust, or hereinafter acquired in trust by the United States of America for the Band or any member thereof, whether within or without the boundaries of the Sugar Bowl Reservation; and
- WHEREAS, Pursuant to Article III, Section 1 of the Constitution, the governing body of the Band is the Tribal Council; and
- WHEREAS, Article VI, Section 1 of the Constitution vests the Tribal Council with the appropriate powers necessary to implement the provisions of the Constitution of Scotts Valley Band of Pomo Indians and to effectively govern the affairs of Scotts Valley Band of Pomo Indians including the authority to promulgate and enforce resolutions and ordinances; and
- WHEREAS, Ordinance No. 96-SUO-11, cited as the “Scotts Valley Gaming Ordinance of 1996,” adopted August 3, 1996 by the Band, serves as the Band’s Tribal Gaming Ordinance authorizing and regulating gaming on the Scotts Valley Indian Reservation; and
- WHEREAS, from time to time it is necessary to amend laws and ordinances to reflect the best interests of the Tribe and the Tribal Council believes it is in the best interests of the Tribe to amend the Gaming Ordinance of the Tribe; and
- WHEREAS, the Amended and Restated Gaming Ordinance meets the requirements set forth by the National Indian Gaming Commission (“NIGC”) Bulletin No. 2018-1 and

includes provisions required by the Indian Gaming Regulatory Act ("IGRA") and NIGC regulations for inclusion in the Tribe's Gaming Ordinance; and

WHEREAS, on January 28, 2025, the Tribe previously submitted a Gaming Ordinance to the NIGC for review, accompanied by Resolution S.V. #03-25; and

WHEREAS, the Tribal Council now withdraws the January 28, 2025 submission and supplants it with this Amended and Restated Gaming Ordinance and the accompanying resolution; and

WHEREAS, the Amended and Restated Gaming Ordinance now incorporates modifications to conform with the regulatory definitions and standards set forth in 25 C.F.R. Part 502 and Part 558, including updates to definitions, licensing requirements, revocation hearing rights, and records retention.

NOW, THEREFORE, BE IT RESOLVED THAT, the Tribal Council hereby withdraws the previously submitted version of the Gaming Ordinance, authorized under Resolution S.V. #03-25, and authorizes and approves amending Ordinance No. 96-SUO-11 in its entirety and in the form of a substitute incorporating these regulatory updates.

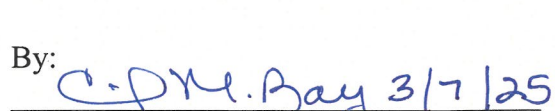
BE IT FURTHER RESOLVED THAT, the Tribal Council hereby authorizes the Amended and Restated Gaming Ordinance of the Scotts Valley Band of Pomo Indians, as provided in the attachment hereto, for submission as a substitute ordinance to the NIGC Chair for review and approval.

BE IT FINALLY RESOLVED, that the Amended and Restated Gaming Ordinance shall be effective immediately upon approval by the NIGC Chair.

CERTIFICATION

We, the undersigned duly elected officials of the Scotts Valley Band of Pomo Indians, certify that the foregoing resolution was adopted at a duly-called meeting of the Tribal Council on this 7th day of March, 2025, at which a quorum was present, by a vote of 5 for, 0 against, and 0 abstentions.

By:  3/7/25
Shawn Davis, Chairman

By:  3/7/25
Crista Ray, Secretary

SCOTTS VALLEY BAND OF POMO INDIANS

GAMING ORDINANCE

Table of Contents to Gaming Ordinance

Section 1.	Introduction.....	3
Section 2.	Applicability	3
Section 3.	Definitions.....	3
Section 4.	Gaming Authorized	6
Section 5.	Ownership of Gaming	6
Section 6.	Use of Net Gaming Revenues	6
Section 7.	Per Capita Payments	7
Section 8.	Gaming Commission.....	7
Section 9.	Audits	11
Section 10.	Environment and Public Health and Safety.....	11
Section 11.	Patron Dispute Resolution	11
Section 12.	Facility Licenses.....	12
Section 13.	Agent for Service of Process	12
Section 14.	Tribal Access to Financial Information.....	13
Section 15.	License Application Forms	13
Section 17.	Background Investigations	14
Section 18.	Procedures for Conducting Background Investigations	15
Section 19.	Investigative Reports.....	16
Section 20.	Eligibility Determinations.....	16
Section 21.	Notice of Results of Background Investigations	16
Section 22.	Granting Gaming Licenses	17
Section 23.	Denying Gaming Licenses.....	18
Section 24.	Gaming License Suspensions and Revocations.....	18
Section 25.	Records Retention	18
Section 26.	Licenses for Vendors	19
Section 27.	Submission of a Vendor License Application.....	19
Section 28.	Contents of the Vendor License Application	19
Section 29.	Vendor Background Investigations	20
Section 30.	Vendor License Fees.....	20
Section 31.	Vendor Background Investigation Reports	21
Section 32.	Vendors Licensed by Recognized Regulatory Authorities.....	21
Section 33.	Compliance with Federal Law.....	21

Section 34.	Interim Gaming Commission	21
Section 35.	Amendments	21
Section 36.	Repeal	21
Section 37.	Effective Date	21

Section 1. Introduction

- A. Title. This Ordinance shall be titled and cited as the “Gaming Ordinance.”
- B. Purpose. The Tribal Council of the Scotts Valley Band of Pomo Indians (“Tribe”), empowered by the Constitution of the Scotts Valley Band of Pomo Indians of the Sugar Bowl Reservation to enact ordinances, hereby enacts this Amended and Restated Gaming Ordinance to govern and regulate the operation of class II and class III gaming operations on the Tribe’s Indian lands; to promote tribal economic development, self-sufficiency and sovereignty; to shield the operation of gaming from organized crime and other corrupting influences; and to ensure that gaming is conducted fairly and honestly by both the operator and players.

Section 2. Applicability

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

Section 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. California 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 Tribal Gaming Commission is established to perform regulatory oversight and to monitor compliance with tribal, federal and applicable state regulations.
- E. **Commissioner.** A Tribal Gaming Commissioner.
- F. **Directly related to.** A spouse, child, parent, grandparent, grandchild, aunt, uncle, or first cousin.
- G. **Facility License.** A separate license issued by the Tribe to each place, facility or location on Indian lands where the Tribe elects to allow class II or III gaming;
- H. **Gaming Activity** shall mean the class II or class III gaming authorized in this Ordinance.
- I. **Gaming Facility or Facility.** Any building in which Gaming Activities or any Gaming Operations occur, or in which business records, receipts, or funds of the Gaming Operation are maintained (excluding offsite facilities primarily dedicated to storage of those records and financial institutions), the principal purpose of which is to serve the Gaming Activities of the Gaming Operation and facilitate the provision of Gaming Activities rather than providing them with an incidental benefit.
- J. **Gaming Operation.** Each economic entity that is licensed by the Tribe operates the games, receives the revenues, issues the prizes, and pays the expenses. A gaming operation may be operated by the Tribe directly or by a management contractor.
- 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. A person who performs one or more of the following functions for the gaming operation:
 - a. Bingo caller;
 - b. Counting room supervisor;
 - c. Chief of Security;
 - d. Floor manager;
 - e. Pit boss
 - f. Dealer;
 - g. Croupier;
 - h. Approver of credit;
 - i. Custodian of gambling 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;; or
 - j. Custodian of surveillance systems or surveillance system records.
2. Any gaming operation employee authorized by the gaming operation for unescorted access to secured gaming areas designated as secured gaming areas by the Commission.
3. If not otherwise licensed as a key employee or primary management official, the four persons most highly compensated by the gaming operation; or
4. Any other employee of the gaming enterprise as documented by the tribe as a key employee.

M. Licensee. A tribally owned class II or class III gaming operation or a person licensed by the 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. 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 nonoperating expenses consistent with professional accounting pronouncements, excluding management fees.

P. **Patron.** Any person who participates in class II or class III gaming or who is physically present on premises where class II or class III gaming is conducted.

Q. **Primary Management Official.**

1. Any person having management responsibility for a management contract.
2. Any person who has authority:
 - a. To hire and fire employees of the gaming operation; or
 - b. To establish policy for the gaming operation.
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 as documented by the Tribe as a primary management official.

R. **Tribal-State Compact.** An agreement between a tribe and state about class III gaming under 25 U.S.C. § 2710(d).

S. **Tribal Council.** The governing body of the Tribe, as set forth in Article III, Section 1 of the Constitution of the Scotts Valley Band of Pomo Indians of the Sugar Bowl Reservation.

T. **Tribe.** The Scotts Valley Band of Pomo Indians.

Section 4. Gaming Authorized

Class II and class III gaming are authorized to be conducted on the Tribe's Indian lands, if such gaming is conducted in accordance with this ordinance, IGRA, the NIGC's regulations, and any other applicable laws or regulations. Any class III gaming activities authorized under this Ordinance are limited to those gaming activities authorized under a Tribal-State Compact.

Section 5. Ownership of Gaming

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.

Section 6. Use of Net Gaming Revenues

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

1. To fund Tribal government operations or programs;
2. To provide for the general welfare of the Tribe and its members;
3. To promote Tribal economic development;
4. To donate to charitable organizations; or
5. To help fund operations of local government agencies.

Section 7. Per Capita Payments

- A. Net revenues from any class II and/or class III gaming activities conducted 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 6(A) of this ordinance;
 - 2. The Secretary of the Interior approves the plan as adequate, particularly with respect to the uses described in sections 6(A)(1) and 6(A)(3) 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.

Section 8. Gaming Commission

- A. The Tribe hereby establishes a Commission ("Commission") to regulate the Tribe's gaming operations. The Commission shall consist of three (3) to five (5) members, including a Chair, Vice-Chair and at least one additional Commissioner.
- B. The 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 through appointment by the Tribal Council.
- D. Terms of office for Commissioners shall be as follows: the Chair shall serve an initial term of one (1) year, with subsequent Chairs serving three (3) year terms; the Vice-Chair and two Commissioners shall serve initial terms of two (2) years, with subsequent Vice-Chairs and Commissioners serving three (3) year terms; and the remaining Commissioner shall serve an initial term of one (1) year, with subsequent Commissioners serving three (3) year terms.
- E. The following persons are not eligible to serve as Commissioners:
 - 1. Tribal Council members, while serving as such;

2. Current employees of the gaming operation;
 3. Gaming contractors (including any principal of a management, or other contracting company);
 4. Persons directly related to, or sharing a residence with, any of the above;
 5. Persons ineligible to be key employees or primary management officials; and
 6. Persons 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.
- F. 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.
- G. 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.
- H. The Tribe recognizes the importance of an independent 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. Members of the Commission are prohibited from gambling in the facility;
 2. Commissioners are prohibited from accepting complimentary items from the gaming operation, excepting food and beverages valued under twenty five dollars (\$25.00); and
 3. 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.
- I. Nominees for Commissioner positions must satisfy the eligibility standards set forth for primary management officials and key employees found in Section 21 of this ordinance. All requisite background investigations of nominees shall be performed by a qualified independent third party.
- J. The 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 to obtain and process fingerprints and conduct a criminal history check that shall include a check of criminal history record information maintained by the Federal Bureau of Investigation;
5. Make licensing eligibility determinations, which shall be signed by the Chair of 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 gaming licenses to primary management officials and key employees of the operation, if warranted by the eligibility determination;
8. Establish standards for licensing Tribal gaming facilities;
9. Issue gaming licenses to Tribal gaming facilities;
10. Inspect, examine and monitor all of the Tribe'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 gaming license applications;
17. Promulgate and issue regulations on the levying of fines and/or the suspension or revocation of gaming 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.
- K. 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 manner in which comments on the proposed action shall be received by the Commission.
- L. 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. Information obtained during the course of an employee background investigation shall be disclosed to members of management, human resource personnel and/or others employed by the Tribal gaming operation on a need-to-know basis, for actions taken in their official capacities.
- M. The confidentiality requirements in Section 8(J), 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.
- N. 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.
- O. Commissioners shall be compensated at a level determined by the Tribal Council. In order to ensure the Commission is not improperly influenced, a Commissioner's compensation shall not be based on a percentage of gaming revenue.
- P. The Commission shall keep a written record of all its meetings.

Section 9. Audits

- A. The Tribe shall cause to be conducted independent audits of gaming operations annually and shall submit the results of those audits to the NIGC.
- 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 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.

Section 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. The 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.

Section 11. Patron Dispute Resolution

- A. Patrons with complaints against the gaming establishment shall have as their sole remedy the right to file a petition for relief with the Commission.
- B. Complaints shall be submitted in writing. Complaints must concern the play and operation of any gaming activity at any Gaming Facility, including any refusal by the Gaming Operation to pay a Patron for any alleged winnings from any Gaming Activities.
- C. Any patron complaint must be submitted to the Commission within thirty (30) days of the incident, giving rise to the complaint.
- D. The Commission shall hold a hearing within 30 days of receipt of the Patron's complaint. The Patron may have counsel present at the hearing. The Patron may be allowed to present evidence, at the discretion of the Commission. After the hearing, the Commission shall render a decision in a timely fashion.
- E. All such decisions will be final when issued. All claims by patrons shall be limited to a maximum recovery per occurrence, and a cumulative limit per patron in any 12-month

period in amounts set by the Tribal Council, except disputes relating to a patron's entitlement to a game prize, which shall be limited to the amount of such prize. The Commission's decision shall constitute the complainant's final remedy.

Section 12. Facility Licenses

- A. The Tribe 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 Commission is responsible for issuing new or renewed facility licenses to each place, facility or location.
- C. The Commission shall require that a facility license application be completed by the chief management official of the gaming facility for each gaming place, facility or location.
- D. The 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: (1) legal description of the lands upon which the facility is located, and (2) 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.
- E. The 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 Tribe.
- F. The Tribe or Commission shall submit to the NIGC Chair a notice that issuance of a facility license is under consideration by the 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.
- G. The 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.
- H. The Tribe 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.

Section 13. Agent for Service of Process

The Tribe designates Tribal Chairman as the agent for service of any official determination, order or notice of violation.

Section 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.

Section 15. License Application Forms

- A. 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 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 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 an SSN may result in errors in processing your application.

- B. The following additional 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 the suspension or revocation of a license. Also, you may be punished by fine or imprisonment (U.S. Code, title 18, section 1001).

Section 16. License Fees

The Tribe may charge a license fee, to be set by the Commission, to cover its expenses in investigating and licensing key employees and primary management officials of the gaming operation.

Section 17. Background Investigations

- A. The Tribe shall perform a background investigation for each primary management official and key employee in its gaming operation. The investigation must be sufficient to allow the Commission to make an eligibility determination under Section 20 of this ordinance.
- B. The 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 Tribe shall request fingerprints from each primary management official and key employee. The Commission shall take fingerprints. Fingerprints will then be forwarded to the NIGC for processing through the Federal Bureau of Investigation and the National Criminal Information Center to determine the applicant's criminal history, if any.
- D. The Commission shall request from each primary management official and key employee all of the following information:
 - 1. Full name, other names used (oral or written), social security number, birthdate, 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 paragraph (C)(2) of this section;
 - 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 paragraphs (C)(8) or (C)(9) of this Section, 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 Tribe deems relevant; and Fingerprints obtained in accordance with procedures adopted by the Tribe
- E. When the Tribe employs a primary management official or key employee, a complete application file, containing all of the information listed in Section 18(C), shall be maintained.
- F. The Commission, and its investigators, shall keep confidential the identity of each person interviewed in the course of conducting a background investigation.

Section 18. Procedures for Conducting Background Investigations

- A. The 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.

Section 19. Investigative Reports

- A. A Tribe 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 of the following information:
 - 1. Steps taken in conducting the investigation;
 - 2. Results obtained;
 - 3. Conclusions reached; and
 - 4. The basis for those conclusions.

Section 20. Eligibility Determinations

- A. Before a license is issued to a primary management official or key employee, an authorized Tribal official 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 authorized Tribal official, 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.

Section 21. Notice of Results of Background Investigations

- A. Before issuing a license to a primary management official or key employee, the 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 Tribe.
- 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 21.

Section 22. Granting Gaming Licenses

- A. All primary management officials and key employees of the gaming operation must have a gaming license issued by the Tribe.
- B. The Commission is responsible for granting and issuing gaming licenses to primary management officials and key employees.
- C. The 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 22.
- D. The 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. A key employee or primary management official who does not have a license after ninety (90) days shall not be permitted to perform the duties, functions, or responsibilities of a key employee or primary management official until so licensed.
- F. The 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.
- G. The Commission shall take the NIGC's objections into account when reconsidering a license application.
- H. The Tribe will make the final decision whether to issue a license to an applicant for a primary management official or key employee position.
- I. If the 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 25.

Section 23. Denying Gaming Licenses

- A. The Commission shall not license a primary management official or key employee if an authorized Tribal official determines, in applying the standards in Section 21 for making a license eligibility determination, which is 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. When the Commission does not issue a license to an applicant for a primary management official or key employee position, or revokes a previously issued licenses after reconsideration, 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.

Section 24. Gaming License Suspensions and Revocations

- A. If, after a license is issued to a primary management official or a key employee, the Tribe receives notice from the NIGC that the primary management official or key employee is not eligible for employment, the 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. The right to a revocation hearing shall vest upon receipt of a license or at such earlier time as is determined by tribal law, regulation, or policy.
- C. Following a revocation hearing, the Tribe shall decide whether to revoke or reinstate the license at issue.
- D. The Tribe 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.

Section 25. Records Retention

- A. The 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 Tribe, the following documentation:
 - 1. Application for licensing;
 - 2. Investigative Reports;
 - 3. Eligibility Determinations;

4. Privacy Act notice, as defined in 25 C.F.R. § 556.2; and
5. False Statement notice, as defined in 25 C.F.R. § 556.3.

Section 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 Commission in order to transact business with the Tribal gaming operation. Contracts for professional legal and accounting services are excluded from this Section.

Section 27. Submission of a Vendor License Application

In order to obtain a gaming vendor license, the business must complete a vendor application and submit it 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 ten largest stockholders, as well as the on-site supervisors or managers designated in an agreement with the Tribe, if applicable.

Section 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), primary 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 California, 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 Tribe deems relevant.
- B. The following notice shall be placed on the application form for a vendor and its principals:

Inclusion of false or misleading information in the vendor application may be grounds for denial or revocation of the Tribe's vendor license.

- C. A vendor may submit to the 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 Tribe not contained in the other application.

Section 29. Vendor Background Investigations

The 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.

Section 30. Vendor License Fees

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

Section 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 Commission.

Section 32. Vendors Licensed by Recognized Regulatory Authorities

The 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.

Section 33. Compliance with Federal Law

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

Section 34. Interim Gaming Commission

Until the Commission is formally appointed by the Tribal Council, the Tribal Council shall act as the Interim Gaming Commission and shall be authorized to perform all functions of the Commission as set forth in and in accordance with this Ordinance. The authority of the Interim Gaming Commission shall be strictly limited to this transitional period and shall automatically cease upon the appointment of the permanent Commission. For clarity, the Interim Gaming Commission shall not be deemed in violation of any provisions of this Ordinance that prohibit Tribal Council members from serving on the permanent Commission. The Tribal Council shall make every reasonable effort to appoint the Commission within thirty (30) days of the approval of this Ordinance by the Chair of the NIGC.

Section 35. Amendments

This Ordinance may be amended upon approval by the Tribal Council and approval by the Chair of the NIGC.

Section 36. Repeal

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

Section 37. Effective Date

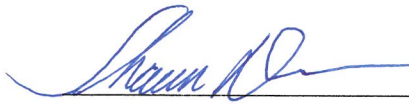
This ordinance shall take effect immediately upon its approval by the NIGC Chair.

CERTIFICATION

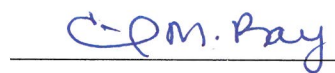
We, the undersigned duly elected officials of the Scotts Valley Band of Pomo Indians, certify that the foregoing **Amended and Restated Gaming Ordinance** was adopted at a duly-called meeting of the Tribal Council on this 7th day of March, 2025, at which a quorum was present, by a vote of 5 for, 0 against, and 0 abstentions, as embodied in Tribal Council Resolution S.V. No. 13-25.

By:

By:

 3/7/25

Shawn Davis, Tribal Chairman

 3/7/25

Crista Ray, Tribal Secretary