Dear Chairman Baty:

This letter responds to your request to review and approve the gambling regulations and ordinance, Resolution No. 95-13 and No. 95-14, adopted on May 1, 1995, by the Auberry Big Sandy Band of Indians (Tribe). This letter constitutes such approval under the Indian Gaming Regulatory Act (IGRA).

Under the IGRA and the regulations of the National Indian Gaming Commission (NIGC), the Chairman is directed to review ordinances with respect to the requirements of the IGRA and the implementing regulations. Thus, the scope of the Chairman's review and approval is limited to the requirements of the IGRA and the NIGC regulations. Provisions other than those required under the IGRA or the NIGC regulations that may be included in a tribal ordinance are not subject to review and approval. Also, such approval does not constitute approval of specific games. It is important to note that the gaming ordinance is approved for gaming only on Indian lands as defined in the IGRA.

With the Chairman's approval of the Tribe's gaming ordinance, the Tribe is now required to conduct background investigations on its key employees and primary management officials. The NIGC expects to receive a completed application for each key employee and primary management official pursuant to 25 C.F.R. § 556.5(a) and an investigative report on each background investigation before issuing a license to a key employee or primary management official pursuant to 25 C.F.R. § 556.5(b).

Thank you for submitting the regulations and ordinance of the Auberry Big Sandy Band of Indians for review and approval. The NIGC staff and I look forward to working with you and the Tribe in implementing the IGRA.

Sincerely yours,

Harold A. Monteau
Chairman
I. GAMING PREVIOUSLY AUTHORIZED.

The Tribal Council, having previously authorized Class II Gaming in Resolution No. 95-14, dated May 1, 1995, hereby adopts the procedures included in this Resolution No. 95-13, dated May 1, 1995, as related to Class II Gaming on Big Sandy Indian Lands.

II. DEFINITIONS.

A. Definition Construction

Unless a different meaning is clearly indicated, the terms used in this Class II Gaming Regulation shall have the same meanings as defined in the following documents: 1) the Indian Gaming Regulatory Act, Public Law 100-497, 25 U.S.C. Section 2701, et seq.; 2) the regulations promulgated by the National Indian Gaming Commission at 25 C.F.R. Sections 502.1 et seq.; 3) the Gaming Ordinance adopted by the Tribal Council on May 1, 1995; and 4) as further set forth below.

B. Administrative Director or Administrator

The Administrative Director of the Board.

C. Board

The Auberry Big Sandy Band of Indians' Gaming Board.

D. Board Member

One of the members of the Board.

E. Gaming Establishment

Any premises where gaming, other than Class I Gaming, is operated or conducted, including all buildings, improvements, equipment and facilities used or maintained in connection with such gaming.

F. Gaming Ordinance

The Auberry Big Sandy Band of Indians Class II Gaming
Ordinance, dated May 1, 1995 and encompassed in Resolution No. 95-13, authorizing Class II Gaming on the Big Sandy Indian Lands.

G. Gaming Regulation

This Regulation of the Tribal Council found in Resolution No. 95-13 dated May 1, 1995, promulgated under the Gaming Ordinance.

H. Licensee

Any person who has been issued a valid and current license pursuant to the provisions of the Gaming Ordinance and the Gaming Regulation.

I. Patron

Any person or group of persons on Big Sandy Indian Lands who participate as players in games, or who are physically present on premises wherein and whereon such games are played.

J. Working Days

Every day except Saturdays, Sundays and days recognized by the Tribe as holidays.

III. PROCEDURES FOR CONDUCTING BACKGROUND INVESTIGATIONS.

A. Responsibility for Investigations.

The Tribe, through its tribally appointed Administrator, shall be responsible for ensuring that background investigations and suitability determinations are conducted concerning all Key Employees and Primary Management Officials of its Gaming Establishment, as required by 25 C.F.R. Section 522.2(b).

B. Conduct of the Background Investigations.

The Tribe designates its Administrator to conduct said background investigations.

C. Procedures for the Background Investigations.

In order to provide a basis for the Tribe to make a finding concerning the eligibility for employment in a gaming operation, said background investigations shall include the following:
1. Verification by written or oral communication of the information submitted by the applicant;

2. An inquiry into the applicant’s prior activities, criminal record, if any, and reputation, habits and associations;

3. Interviews with a sufficient number of people such as former employers, personal references, and others with sufficient knowledge of said applicant;

4. Documentation setting forth the disposition of all potential problem areas and disqualifying information which is obtained; and

5. The obtaining and processing of fingerprints from each applicant. The Tribe designates the Fresno County Sheriff’s Office to obtain and process said fingerprinting.

D. Reports Regarding the Background Investigations.

Reports regarding all background investigations shall be reviewed and approved by the Board. Said reports shall set forth the following:

1. The steps taken in conducting the background investigations;

2. The results obtained;

3. The conclusions reached; and

4. The bases for those conclusions.

E. Submission of Reports to Commission.

The Administrator shall be responsible for submitting the reports referred to above to the National Indian Gaming Commission.

IV. PROCEDURES TO ISSUE TRIBAL LICENSES TO PRIMARY MANAGEMENT OFFICIALS AND KEY EMPLOYEES.

A. Licensing -- General.

1. Licensing authority for Class II Gaming is within the authority of the Tribe.

2. Any person seeking to conduct, operate or manage
any Class II gaming operation on Big Sandy Indian Lands shall apply for and receive all the required licenses from the Board prior to engaging in such gaming operations.

3. The Board shall consult with appropriate law enforcement officials, including the Federal Bureau of Investigation, concerning any gaming licenses it may issue.

B. Licensing Procedure.

1. After submission of the investigatory report to the Commission, as required by the Gaming Ordinance and this Gaming Regulation, the Tribe shall allow a 30-day period in which to receive notice from the Commission regarding the Commission’s views on the issuance of a license to an applicant.

2. The Administrator shall respond to any requests for additional information on an applicant made by the Commission.

3. The Administrator shall notify the Board of the views of the Commission. Specifically, the Administrator shall notify the Board if the Commission has no objection to the issuance of a license and provide the Board with any itemized objections submitted by the Commission.

4. The Board shall have the power and authority to approve or deny any application for a license, to limit, condition, suspend, restrict, revoke or reinstate any license, and to impose a reasonable fine upon any person licensed, for any cause deemed reasonable by the Board.

a. In making any such licensing determinations, the Board shall consider the views of the Commission, including any itemized objections.

b. Any Board vote in approving, disapproving, revoking, reinstating, suspending, limiting, restricting or conditioning a license under the Tribe’s Gaming Ordinance shall be by secret ballot only; provided that in an emergency, a secret phone vote may be polled pursuant to regulations adopted by the Board.

c. The Board shall notify the Administrator of
its licensing decision.

5. The Administrator shall notify the applicant, in writing, of the Board’s licensing decision.

6. If, after the issuance of a license, the Board receives from the Commission reliable information indicating that a Key Employee or a Primary Management Official is not eligible for employment pursuant to Section VIIIC of the Gaming Ordinance, the Board shall suspend the license and notify the Administrator.

   a. The Administrator shall notify, in writing, the Licensee of the suspension and proposed revocation and of a time and place for a hearing on the proposed revocation of the license.

   b. The hearing shall be conducted in accordance with the grievance procedures set forth in Section IVC hereof.

C. Grievance Procedure for Licensee.

1. A right to a hearing shall vest only upon receipt of a license duly granted by the Board under the Gaming Ordinance and this Gaming Regulation.

2. The Board shall hold a hearing at the time and place specified in the notice to the Licensee. At the hearing, the Licensee shall have the opportunity to present his or her case. The burden shall be on the Licensee to show cause why the Board’s determination was incorrect.

3. Board Findings. Following such a hearing, the Board shall, reach a determination concerning:

   a. The accuracy of the initial facts underlying the determination to suspend a license; and

   b. Whether the license in question should be revoked or reinstated.

4. Notification of Board Decision. The Administrator shall inform the Licensee in writing of that determination.

5. The Licensee shall have a right to appeal the determination of the Board to the Tribal Council. Such appeal must be filed with the Tribal Council
in written form on or before the tenth working day following receipt of the written determination of the Board. A determination of such appeal by the Tribal Council shall be final, and no further action may be had.

D. Notices to Commission

The Administrator shall provide the following notices to the Commission, where applicable:

1. Notice of any decision to grant a license and date for issuance;
2. Notice of any decision to deny a license; and
3. Notice of any decision to reinstate or revoke a suspended license.

V. PROCEDURES FOR RESOLVING DISPUTES BETWEEN PATRONS AND THE TRIBE.

Where a dispute arises between a Patron and the Tribe, the following procedures shall apply:

A. Informal Resolution.

The entity (which may be the Tribe) managing a Gaming Establishment shall try to resolve on an informal basis any complaints made by Patrons relating to the Gaming Establishment or gaming. Any resolution of the dispute shall be reported to the Tribal council.

B. Formal Resolution.

If the complaint cannot be resolved informally, as provided for above, the entity managing the Gaming Establishment shall notify the Patron that the Patron has a right to present his or her complaint to the Tribal Council whose decision shall be final.

VI. AGENT FOR SERVICE OF PROCESS.

The Tribe hereby authorizes the Chairman of the Tribal Council to receive service of process, as the Tribe's authorized agent, at the following address: Chairman of the Tribal Council, Big Sandy Rancheria, P.O. Box 337, Auberry, California 93602.
VII. PROCEDURES FOR CONDUCTING A CRIMINAL HISTORY CHECK.

A. Fingerprinting.

The Fresno County Sheriff's Office, upon request by the Tribe, shall fingerprint any and all applicants for a licensed position with the gaming operation as required by the Gaming Ordinance or this Gaming Regulation.

B. Criminal History Check.

1. Fresno County Sheriff's Office. When asked to conduct a criminal history check by the Tribe, Fresno County Sheriff's Office shall follow its existing in-house protocol for performing a criminal history check and then prepare a written report, addressed to the Tribe, regarding any information which may impact the Tribe's decision to license or not license an applicant.

2. Federal Bureau of Investigation. A criminal history check shall include a check of criminal history record information maintained by the Federal Bureau of Investigation.

CERTIFICATION

The foregoing resolution was adopted by a vote of 5 for, and 0 against, and 0 abstentions, at a duly called meeting of the Tribal Council, at which a quorum was present, on this 1st day of May, 1995.

[Signature]
Chairman of the Tribal Council
I. PURPOSE.

The Tribal Council, empowered by the Constitution of the Auberry Big Sandy Band of Indians to enact ordinances, hereby enacts this Class II Gaming Ordinance in order to set the terms for Class II gaming operations on Big Sandy Indian Lands.

II. GAMING AUTHORIZED.

All forms of Class II gaming, as defined in the Indian Gaming Regulatory Act, P.L. 100-497, 25 U.S.C. Section 2703(7)(A) and by the regulations promulgated by the National Indian Gaming Commission at 25 C.F.R. Section 502.3 (as published in the Federal Register at 57 F.R. 12382-12393, April 9, 1992) are hereby authorized on Big Sandy Indian Lands, including but not limited to, bingo, pulltabs, and non-banking card games.

III. DEFINITIONS.

A. Unless a different meaning is clearly indicated, the terms used in this Gaming Ordinance shall have the same meanings defined in the Indian Gaming Regulatory Act, Public Law 100-497, 25 U.S.C. Section 2701, et seq., and in the regulations promulgated by the National Indian Gaming Commission at 25 C.F.R. Sections 502.1, et seq., and as further set forth below.

B. Big Sandy Indian Lands

1. All lands within the limits of the Big Sandy Rancheria; and

2. Any lands title to which is either held in trust by the United States for the benefit of the Auberry Big Sandy Band of Indians or an individual member of the Tribe or held by the Auberry Big Sandy Band of Indians or an individual member of the Tribe subject to restriction by the United States against alienation and over which the Auberry Big Sandy Band of Indians exercises governmental power.
C. **Big Sandy Rancheria**

All those lands as shown on the map of Fresno County Tract No. 2060, recorded at pages 89, 90 and 91 in volume 22 of plats, Fresno County Records and other lands hereafter acquired by the Tribe as part of its rancheria in accordance with the Tribe’s Constitution and the IGRA.

D. **Indian Tribe or Tribe**

The Auberry Big Sandy Band of Indians located in Auberry, Fresno County, California.

E. **Key Employee**

1. A person who performs one or more of the following functions:
   a. Bingo caller;
   b. Counting room supervisor;
   c. Chief of security;
   d. Custodian of gaming supplies or cash;
   e. Floor manager;
   f. Pit boss;
   g. Dealer;
   h. Croupier;
   i. Approver of credit; or
   j. Custodian of gambling devices, including persons with access to cash and accounting records within such devices;

2. If not otherwise included, any other person whose total cash compensation is in excess of $50,000.00 (Fifty-Thousand Dollars) per year; or

3. If not otherwise included, the four most highly compensated persons in the gaming operation.

F. **Person**

Any association, partnership, corporation, firm, trust or other form of business association as well as a natural person.

G. **Primary Management Official**

1. The person having management responsibility for a management contract;

2. Any person who has authority:
   a. To hire and fire employees; or
b. To set up working policy for the gaming operation; or

3. The chief financial officer or other person who has financial management responsibility.

H. State
The State of California.

I. Tribal Council
The Tribal Council of the Auberry Big Sandy Band of Indians.

IV. OWNERSHIP OF GAMING.

The Tribe shall have and maintain the sole proprietary interest in and responsibility for the conduct of any Class II gaming activities authorized by this Ordinance.

V. USE OF GAMING REVENUE.

If the Tribe elects to make per capita payments to tribal members, it shall authorize such payments only upon approval of a plan submitted to the Secretary of the Interior under 25 U.S.C. Section 2710(b)(3). Otherwise, the Tribe shall use net revenues from Class II gaming only for one or more of the following purposes:

A. Fund tribal government operations or programs;

B. Provide for the general welfare of the Tribe and its members;

C. Promote tribal economic development;

D. Donate to charitable organizations; or

E. Help fund operations of local government agencies.

VI. AUDIT.

A. Tribal Responsibility for Gaming Operation Audits.

The Tribe shall cause to be conducted independent audits of gaming operations annually and shall submit the results of the audits to the Commission.

B. Contract Audit.
All gaming related contracts that result in purchases of supplies, services, or concessions for more than $25,000 in any year (except contracts for professional legal or accounting services) shall be specifically included within the scope of the audit conducted under subsection A above.

VII. PROTECTION OF THE ENVIRONMENT AND PUBLIC HEALTH AND SAFETY.

Class II gaming facilities shall be constructed, maintained and operated in a manner that adequately protects the environment and the public health and safety.

VIII. GAMING LICENSES FOR KEY EMPLOYEES AND PRIMARY MANAGEMENT OFFICIALS.

The Tribe shall ensure that the policies and procedures set out in this Section VIII of this Gaming Ordinance are implemented with respect to Key Employees and Primary Management Officials employed at any Class II gaming enterprise operated on Big Sandy Indian Lands:

A. "Privacy Act" and "False Statements" Notices on Application Forms.

1. Privacy Act Notice. The Tribe shall place the following notice on each application form for a Key Employee or Primary Management Official before that form 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. Section 2701 et seq. The purpose of the requested information is to determine the eligibility of individuals to be employed in a gaming operation. The information will be used by 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 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 the Auberry Big Sandy Band of Indians or the National Indian Gaming Commission in connection with the hiring or firing of an employee, the issuance or revocation of a gaming license, or investigations of activities while associated with the Auberry Big Sandy Band of Indians or a gaming operation. Failure to consent to the disclosures indicated in this notice will result in the
Auberry Big Sandy Band of Indian's being unable to hire in a primary management official or key employee position.

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

2. False Statement Notice. The Tribe shall place the following notice on each application form for a Key Employee or Primary Management Official before that form is filled out by an applicant:

"A false statement on any part of your application may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by fine or imprisonment. (18 U.S. Code, title 18, section 1001)."

3. The Tribe shall notify in writing existing Key Employees and Primary Management Officials that they shall either, where applicable:

a. Complete a new application form that contains a Privacy Act notice;

b. Complete a new application form that contains a notice regarding false statements;

c. Sign a statement that contains the Privacy Act notice and consent to the routine uses described in that notice; or

d. Sign a statement that contains the notice regarding false statements.

B. Background Investigations.

1. The Tribe shall request the following information from each Key Employee and Primary Management Official:

a. Full name, other names used (oral or written), social security number(s), birth date, place of birth, citizenship, gender, all languages (spoken or written);

b. Currently and for the previous 5 years: business and employment positions held, ownership interests in those businesses, business and residence addresses, and
driver's license numbers;

c. The names and current addresses of at least three personal references, including one personal reference who was acquainted with the applicant during each period of residence listed under subparagraph b above;

d. Current business and residence telephone numbers;

e. Description of any existing and previous business relationships with Indian tribes, including ownership interests in those business;

f. Description of any existing and previous business relationships with the gaming industry generally, including ownership interests in those business;

g. 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;

h. 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 and disposition of any;

i. 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 and disposition;

j. 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 subparagraphs h and i above, the criminal charge, the name and address of the court involved and the date and disposition;

k. 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;

1. A photograph;

m. Any other information the Tribe deems relevant; and

n. Fingerprints consistent with procedures adopted by the Tribe according to 25 C.F.R. Section 522.2(h).

2. The Tribe shall conduct a background investigation for each Key Employee and each Primary Management Official of a gaming operation sufficient to make a determination under Section VIIIC of this Gaming Ordinance.

3. In conducting a background investigation, the Tribe or its agents shall promise to keep confidential the identity of each person interviewed in the course of the investigation.

C. Eligibility Determination.

1. The Administrative Director shall review a person’s prior activities, criminal record, if any, and reputation, habits and associations to make a finding concerning the eligibility of a Key Employee or Primary Management Official for employment in a gaming operation.

2. If the Auberry Big Sandy Indian Gaming Board determines that employment of the person poses a threat to the public interest or to the effective regulation of gaming, or creates or enhances dangers of unsuitable, unfair, or illegal practices and methods and activities in the conduct of gaming, a tribal gaming operation shall not employ that person in a Key Employee or Primary Management Official position.

3. The Tribe’s gaming operation shall not employ in a Key Employee or Primary Management Official position a person who has supplied materially false or misleading information with respect to the required information for that person’s background investigation under subsection A above.

D. Procedures for Forwarding Applications and Reports for Key Employees and Primary Management Officials to the Commission.
1. When a Primary Management Official or a Key Employee begins work at a gaming operation authorized by this Gaming Ordinance, the Tribe shall forward to the Commission a completed employment application containing the information listed in Section VIIIB of this Gaming Ordinance and conduct the background investigation and make the determination referred to in Section VIIIC of this Gaming Ordinance.

2. The Tribe shall forward the report referred to in Section VIIIE of this Gaming Ordinance to the Commission within 60 days after an employee begins work or within 60 days of the approval of this ordinance by the Chairman of the Commission.

3. The Gaming Operation shall not employ as a Key Employee or Primary Management Official a person who does not have a license after 90 days.

E. Report to the Commission.

1. Pursuant to the procedures set out in Section VIIID of this Gaming Ordinance, the Tribe shall prepare and forward to the Commission an investigative report on each background investigation. An investigative report shall include all of the following:

   a. Steps taken in conducting a background investigation;

   b. Results obtained;

   c. Conclusions reached; and

   d. Bases for such conclusions.

2. When the Tribe forwards its report to the Commission it shall include a copy of the eligibility determination made under Section VIIIC of this Gaming Ordinance.

3. If the Tribe does not license the applicant, the Tribe:

   a. shall notify the Commission; and

   b. may forward copies of its eligibility determination under Section VIIIC of this Gaming Ordinance and investigative report (if any) under Section VIIIE of this Gaming Ordinance.
Ordinance to the Commission for inclusion in the Indian Gaming Individuals Record System.

4. With respect to Key Employees and Primary Management Officials, the Tribe shall retain applications for employment and reports (if any) of background investigations for inspection by the Chairman of the Commission or his or her designee for no less than three (3) years from the date of termination of employment.

F. Granting a License to a Key Employee or Primary Management Official.

1. If, within the 30-day period after the Commission receives a report, the Commission notifies the Tribe that it has no objection to the issuance of a license pursuant to a license application filed by a Key Employee or a Primary Management Official for whom the Tribe has provided an application and investigative report to the Commission, the Tribe may go forward and issue a license to such applicant.

2. The Tribe shall respond to a request for additional information from the Chairman of the Commission concerning a Key Employee or a Primary Management Official who is the subject of a report. Such a request shall suspend the 30-day period under Section VIIIF1 of this Gaming Ordinance until the Chairman of the Commission receives the additional information.

3. If, within the 30-day period described above, the Commission provides the Tribe with a statement itemizing objections to the issuance of a license to a Key Employee or to a Primary Management Official for whom the Tribe has provided an application and investigative report to the Commission, the Tribe shall reconsider the application, taking into account the objections itemized by the Commission. The Tribe shall make the final decision whether to issue a license to such applicant.

G. License Suspension.

1. If after the issuance of a gaming license, the Tribe receives from the Commission reliable information indicating that a Key Employee or a Primary Management Official is not eligible for employment under Section VIIIC of this Gaming
Ordinance, the Tribe shall suspend such license and shall notify in writing the Licensee of the suspension and the proposed revocation.

2. The Tribe shall notify the Licensee of a time and a place for a hearing on the proposed revocation of a license.

3. After a revocation hearing, the Tribe shall decide to revoke or to reinstate a gaming license. The Tribe shall notify the Commission of its decision.

IX. SEPARATE LICENSE REQUIREMENT FOR EACH CLASS II GAMING LOCATION.

The Tribe shall issue a separate license to each place, facility, or location on Big Sandy Indian Lands where Class II gaming is conducted under this Gaming Ordinance.

X. ADMINISTRATION

A. Regulations.

The Tribal Council is hereby authorized to promulgate and enforce regulations to implement this Gaming Ordinance. All regulations authorized hereunder shall be promulgated and enforced in conformity with the procedures established for promulgating and enforcing ordinances as set forth in the Constitution of the Auberry Big Sandy Band of Indians.

B. Board.

1. The Tribal Council hereby establishes the Auberry Big Sandy Band of Indians Gaming Board. The Tribal Council shall select the members of the Board.

2. The Board shall have an Administrative Director selected by the Tribal Council.

XI. IGRA COMPLIANCE

The Tribe shall ensure enforcement of rules and regulations for all games played to ensure that they conform to the Indian Gaming Regulatory Act, and such rules and regulations shall be designed to promote and ensure the integrity, security, honesty and fairness of the operation and administration of all Class II Gaming Establishments.
XII. REPEAL.

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

CERTIFICATION

The foregoing resolution was adopted by a vote of 5 for, and 0 against, and 0 abstentions, at a duly called meeting of the Tribal Council, at which a quorum was present, on this 13th day of May, 1995.

Chairman of the Tribal Council