

CHAPTER 61D-14
PARI-MUTUEL WAGERING FACILITY SLOT MACHINE OPERATIONS

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61D-14.001 General Definitions.

The following words and terms, when used in these regulations, shall have the following meanings unless the context clearly indicates otherwise:

(1) "Affiliate" or "affiliated" means person(s) one of whom directly or indirectly has the power to control the other, or persons who are both controlled by a third party.

(2) "Asset number" means a unique number permanently affixed to a slot machine or a slot cash storage box by a slot machine licensee for purposes of tracking that slot machine or storage box.

(3) "Bill" means a piece of United States paper currency.

(4) "Credit" means a unit of entitlement for play of a slot machine game created by the conversion of bills, tickets, or vouchers when inserted into a slot machine.

(5) "Currency" means the money of the United States that is designated as legal tender.

(6) "Custodian of Records" means the officer, director or employee of the slot machine who is designated as the employee responsible for records regarding the departments referenced in Rule 61D-14.015, F.A.C. The custodian

of records shall be responsible for the maintenance of all records of the department for which he or she is delegated responsibility.

(7) “Drop” the total amount of bills, tickets, and vouchers received by a slot machine or collected by a device that collects such items.

(8) “EPROM” means erasable programmable read only memory of a slot machine.

(9) “Facility Based Monitoring System” means a central site computer system that shall be accessible by the division and FDLE _____ to which all slot machines at a gaming facility communicate for the purpose of auditing capacity, real-time information retrieval of the details of any financial event that occurs in the operation of a slot machine facility, door openings and closings, power failure, and disabling of slot machines.

(10) “F.A.C.” means the Florida Administrative Code.

(11) “FDLE” means the Florida Department of Law Enforcement.

(12) “Gaming day” means the time sixteen-hour period not to exceed 24 hours the slot machine gaming areas of a slot machine licensee are open pursuant to Section 551.116, F.S., and used by any casino for accounting and business reporting purposes.

(13) “Jackpot” means any money, merchandise or thing of value to be paid to a patron as the result of a specific combination(s) of characters displayed on a slot machine that the slot machine is not capable to automatically pay out.

(14) “Play” means the making of a slot machine wager or the use of a free play award in lieu of a wager, the activation of the slot machine game by the patron, and an indication to the patron of the outcome of the wager.

(15) “Program Storage Media” includes hard drives, card flash, USB, SIMM cards, SATA, and EPROMs.

(16) “Server Based Gaming Systems,” also referred to as “SBGS,” is the combination of server and client terminals in which the entire or integral portion of the game content resides on the server, in which the system works collectively in such a fashion in which the client terminal will not be capable of functioning when disconnected from the server or system.

(17) “Server Supported Game System,” also referred to as “SSGS,” is the combination of server and client terminals which together allow the transfer of the entire control program and the game content to the client terminals on an intermittent basis, which client terminals are connected to the system and are capable of operations independently from the system once the downloading process is completed; this configuration encompasses cases where the system may take control of peripheral devices or associated equipment typically considered part of a conventional client terminal such as a bill validator or a printer. In a system supported game, the game outcome is determined by the client terminals connected to the system and not by the system itself. The client terminal is capable of functioning if disconnected from the system.

~~(18)(15)~~ “Slot cash storage box” is a tamper-resistant container, used in slot machine gaming that provides storage for bills, tickets, and vouchers accepted by a device such as a slot machine or automated ticket redemption machine.

~~(19)(16)~~ “Ticket” means a receipt printed by a slot machine or ticket issuing machine used for slot machine play or redeemed by the slot machine licensee.

~~(20)(17)~~ “Voucher” means a receipt for cash or property which is issued at a cashier’s cage and that is inserted into a slot machine to initiate play.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (d), (e), (g), (i), 551.104(4) FS. History—New 6-25-06, Amended 12-6-06;_____.

61D-14.002 Application Requirements.

(1) Each application for a slot machine license shall:

(a) Be filed by a pari-mutuel wagering permitholder;

(b) Be filed on Form DBPR PMW-3400, Permitholder Application for Annual Slot Machine License, effective 6-21-10, adopted herein by reference, and can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North~~

~~Monroe Street, Tallahassee, Florida 32399-1035;~~

(c) Include the full name of the applicant;

(d) Include a list of all ownership interests of five percent or greater;

1. If the applicant is a corporation, provide the name of the state in which incorporated and the names and addresses of the officers, directors, and shareholders holding five percent or more equity; or

2. If the applicant is a business entity other than a corporation, provide the names and addresses of the principals, partners, shareholders or any other person holding five percent or more equity.

(e) Include the names and addresses of the ultimate equitable owners for a corporation or other business entity, if different from those provided under paragraph (d), unless:

1. The securities of the corporation or entity are registered pursuant to Section 12 of the Securities Exchange Act of 1934, 15 United States Code Sections 78a-78kk; and

2. The corporation or entity files the reports required by Section 13 of the Act with the United States Securities and Exchange Commission, or the securities of the corporation or entity are regularly traded on an established securities market in the United States;

(f) Include the names and addresses of any mortgagee of the applicant's pari-mutuel facility and information on any financial agreement between the parties including the names and addresses of:

1. The officers and directors of the mortgagee;

2. The stockholders in the mortgagee who hold more than five percent of the stock;

3. The equitable owners under paragraph (e) if applicable and the mortgagee is a publicly traded company.

(g) Provide for each individual listed in the application as an owner, partner, officer, or director a complete:

1. A set of each owner, partner, officer, or director's electronically submitted fingerprints must be taken by a vendor or service provider approved by the Florida Department of Law Enforcement (FDLE) to provide live-scan fingerprinting for submission to FDLE and the Federal Bureau of Investigations (FBI) for a state criminal background check and a federal criminal background check.

i. Each owner, partner, officer, or director required to be reported pursuant to this section must provide the correct Originating Agency Identifier (ORI) number listed on the Division of Pari-Mutuel Wagering's licensing portal website to the live-scan vendor or service provider. Failure to provide the correct ORI number may result in an incomplete application;

ii. The cost of fingerprint processing, including the cost of retaining the fingerprints, shall be borne by the applicant and paid directly to the FDLE approved vendor or service provider. Set of fingerprints that have been taken by a law enforcement officer or division staff to allow for electronic submission to FDLE; and

2. Form DBPR PMW-3460, Authorization for Release of Information, effective 6-21-10, adopted herein by reference, and can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~, authorizing the division and FDLE to obtain any record held by a financial or public institution.

(h) Include a security plan that is in compliance with the specifications cited in Rule 61D-14.051, F.A.C.;

(i) Include a copy of the contracts required by Section 551.104(10), F.S.;

(j) Include the name and address of the custodian of records in Florida for slot machine operations;

(k) Include the date of issue of each permit to conduct pari-mutuel wagering and the applicant's ownership interest percentage;

(l) Include a complete Form DBPR PMW-3470, Surety Bond for Florida Slot Machine Licensee, effective 6-21-10, adopted herein by reference, and can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~. This form provides proof of a bond, in the amount of at least 2 million dollars (\$2,000,000.00) payable to the Governor of the State of Florida and his or her successors in office. The bond required by this section must:

1. Be issued by a surety authorized to issue such a bond in the state of Florida;

2. Provide the surety name, bond number, and date of the instrument;

3. State that upon the principal's failure to comply with Chapter 551, F.S., and Chapter 61D-14, F.A.C., including failure to promptly pay all gaming fees and taxes when due and demanded, the Director of the Division of Pari-Mutuel Wagering of the Department of Business and Professional Regulation (DBPR) may make demand upon the surety for the payment of the amount of the default to also include any fines or administrative penalties imposed as a result of a default by said principal up to but not to exceed the amount of its liability as defined by this bond;

4. Indicate the expiration date of the bond and provide that the bond may be continued by continuation certificate signed by the principal and surety;

5. Provide that the surety may reserve the right to withdraw from the bond, except the surety may not withdraw as to any liability already incurred or accrued during the period of the bond, and may do so only upon giving written notice of the withdrawal to the Director of the Division of Pari-Mutuel Wagering, State of Florida, DBPR, 1940 North Monroe Street, Tallahassee, Florida 32399. The bond must further provide that any approved withdrawal shall not be effective until sixty (60) days have elapsed after the division's acknowledgement of the notice;

6. Provide that withdrawal shall not in any case affect the surety's liability arising out of any outstanding amount incurred prior to the expiration of the 60-day period, after which the division has acknowledged the surety's notice of withdrawal; and

7. Include the signatures of the Corporate President, Secretary, and attorney in fact (as required) and Florida Registered Agent, and the printed name and address of that Registered Agent.

(m) Include payment of the non-refundable application fee upon the filing of the application as required by Section 551.106(1), F.S.;

(n) Include payment of the non-refundable regulatory fee to fund the compulsive gambling program as required by Section 551.118, F.S.;

(o) Include a copy of each policy required by Section 551.104(4)(i), F.S.;

(p) Provide a list summarizing all administrative, civil, or criminal proceedings initiated by any governmental agency or entity, including all judgments or final decisions entered in such proceedings, that would affect the license status of the applicant or any affiliate of the applicant pursuant to Sections 550.054, 550.1815 and 551.104, F.S., as well as additionally provide, when specifically requested by the division, copies of any complaint, pleading, and any final order, judgment, or other final disposition in any such administrative, civil, or criminal proceeding.

(q) Include internal control procedures required by Rule 61D-14.058, F.A.C.; and

(r) Include the dates and hours of slot machine operations as specified in Section 551.116, F.S.

(2) The applicant for a slot machine license shall file its application under oath.

(3) If the applicant is a business entity, the application shall be filed under oath by an officer, director or manager who is authorized by the applicant business entity to bind the applicant to the representations made in the license application. The officer, director or manager signing the application of a business entity shall affirm under oath that he or she is authorized to sign on behalf of the business entity applying for the slot machine license.

(4) The applicant shall indicate:

(a) When the applicant intends to claim any exemption from public records disclosure under Section 119.07, F.S., or any other exemption from public records disclosure provided by law, for any part of its application, and

(b) The specific sections for which it claims an exemption and the basis for the exemption pursuant to Section 119.07, F.S., or any other exemption from public records disclosure provided by law.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (f), (g), 551.104(4), (10), 551.106(1), 551.118 FS. History—New 6-25-06, Amended 6-21-10.

61D-14.003 Renewal of Slot Machine Licenses.

(1) A slot machine license shall be renewed annually by the division on the anniversary date of the issuance of the initial license, provided there are no disqualifications upon review of the renewal application.

(2) The license renewal application shall be submitted on Form DBPR PMW-3405, Permitholder Renewal Application for Annual Slot Machine License, effective 9-26-13, adopted herein by reference, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03156>, which can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone

~~Road, Tallahassee, Florida 32399-1035 1940 North Monroe Street, Tallahassee, Florida 32399-1035.~~ The license renewal application shall be submitted to the division no less than 90 days prior to the anniversary date of the license and include the following:

- (a) Any changes to the information previously submitted pursuant to Rule 61D-14.002, F.A.C.;
- (b) A copy of the licensee's current internal controls; and
- (c) Certification of renewal of the surety bond, or proof of a new bond, meeting the requirements specified by subsection 61D-14.002(1), F.A.C.

(3) A slot machine license will not be renewed until payment of the annual license fee specified in Section 551.106(1)(a), F.S., and the compulsive or addictive gambling prevention regulatory fee specified in Section 551.118(3), F.S., is received by the Division of Pari-Mutuel Wagering, which payment must be submitted by electronic funds transfer.

Rulemaking Authority 550.0251(2), 551.103(1), 551.122 FS. Law Implemented 550.0251(2), 551.103(1)(a), (b), 551.104(4), 551.105, 551.106, 559.79(2) FS. History—New 7-30-06, Amended 9-26-13.

61D-14.004 Denial Criteria for Applications and Renewals.

An application for a slot machine license or a renewal of a slot machine license shall be denied if a review of the application or the investigation of the applicant demonstrates any of the following:

- (1) Failure to provide any document required by Rule 61D-14.002, F.A.C.;
- (2) A referendum was not held in the county where the slot machine facility is to be operated which demonstrates that the majority of the electors voting on the referendum have approved the operation of slot machines within pari-mutuel facilities in that county and the county is authorized to hold such a referendum as specified in Section 23, Art. X of the State Constitution;
- (3) The applicant is not a pari-mutuel wagering permitholder;
- (4) Slot machine gaming will be conducted at an ineligible pari-mutuel wagering facility;
- (5) The applicant has outstanding fines, or the applicant's pari-mutuel wagering permit or license has been suspended or revoked, for noncompliance with Chapter 550, F.S.;
- (6) The applicant has outstanding fines, or has been suspended or revoked, for noncompliance with Chapter 551, F.S., or the application indicates slot machine operations shall be conducted in a manner that is not consistent with Chapter 551, F.S., or the rules contained in Chapter 61D-14, F.A.C.;
- (7) The applicant failed to conduct a full schedule of live racing or games as defined in Section 550.002(11), F.S. In the event that the applicant did not conduct a full schedule of live racing or games, the applicant shall provide an affidavit setting forth the facts and circumstances for the applicant's failure to have conducted a full schedule of live racing or games in the previous racing or jai alai season;
- (8) The applicant failed to submit a security plan in accordance with Rule 61D-14.051, F.A.C., or if an application for renewal fails to report any changes to the applicant's previously approved plan;
- (9) The applicant has failed to reveal any fact mandatory to the application for licensure, or has supplied information that is untrue or misleading as to a mandatory fact pertaining to the licensure criteria; or
- (10) A conviction as specified in Section 550.1815(1)(b), F.S., or a conviction or disqualifying administrative sanction as provided in Section 551.107(6)(a), F.S., of the applicant or of any person or entity referenced in Section 550.1815(1)(a), F.S.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (i), 551.104(4), 551.117, 551.118(1) FS. History—New 6-25-06, Amended 12-6-06.

61D-14.005 Occupational License Requirements for Individual Persons.

(1) The following slot machine occupational license requirements apply to individual persons having access to the designated slot machine area or who may be granted access to the slot machine area by reason of the positions they hold:

(a) Professional Individual Occupational License – Individuals meeting any of the following criteria shall apply for a professional individual occupational license. An individual seeking a license as an employee of a slot machine facility who:

1. Will be a security or supervisory employee who requires access to the slot gaming floor of a slot machine facility, or a surveillance employee;
2. Will have access to the interior of a slot machine, a slot machine’s revenue, or accounting and reporting records associated with slot machine revenue; or
3. Holds a position as the head of a department referenced in Rule 61D-14.015, F.A.C., or a supervisor of employees of the slot machine licensee.

(b) General Individual Occupational License – An individual seeking a license as an employee of a slot machine facility with no management or supervisory authority related to the slot machine licensee’s facility or employees not covered in paragraph (1)(a) above shall apply for a general individual occupational license; and

(c) Business Employee Occupational License – An individual seeking a license as an employee of any person or entity providing slot machine related services as referenced in Section 551.107(2)(a)3., F.S., to a slot machine licensee, who may be granted access to slot machine areas of a slot machine licensee due to their employment, shall apply for a business employee occupational license.

(2) As part of the initial application for or renewal of a slot machine occupational license provided in Section 551.107, F.S., an applicant shall submit the following information on Form DBPR PMW-3410, Slot Machine Individual Occupational License Application, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03157>, or Form DBPR PMW-3415, Slot Machine Individual Occupational License Renewal Application, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03158>, both of which are effective 9-26-13 and adopted herein by reference. The forms can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~4940 North Monroe Street, Tallahassee, Florida 32399-1035.~~

- (a) Name, including any prior names, aliases, maiden name or nicknames;
- (b) Date of birth;
- (c) Current physical and mailing address, a mailing address alone shall not be sufficient unless it is also the applicant’s physical address;
- (d) Social security number;
- (e) Telephone number of current place of employment and home;
- (f) The applicant’s marital status and the name, date of birth, race, and gender of the applicant’s spouse, children, siblings, grandchildren, the applicant’s parents and any other relative over the age of 21 living in the same household as the applicant;
- (g) Disclosure of other jurisdictions in which the applicant holds, has held, or is applying for a gaming license including:
 1. Any license, permit or registry required in order to participate in any legal gaming operation; and
 2. Any denial, suspension or revocation of a license, permit or certification issued by any governmental agency.
- (h) Information regarding any administrative, civil or criminal proceedings, or any investigations known to the applicant that have been initiated by any governmental agency or any other state or federal agency regarding the applicant in that jurisdiction, or any judgment entered as the result of any such proceeding to include:
 1. The date of any listed action;
 2. A copy of any complaint filed in the above actions; and
 3. A copy of any final orders, judgments, or other final judicial disposition in the above actions.

(3) Every applicant for a slot machine occupational license pursuant to paragraphs (1)(a) and (c) shall disclose in his or her application:

(a) Any affiliation of the applicant with a slot machine licensee or with companies controlling the slot machine licensee and the position he or she occupies with the same or his interest in said entity;

(b) Any affiliation of the applicant with a business slot machine occupational licensee or companies controlling the business slot machine occupational licensee entity, and the position that he/she occupies with or his/her interest in said entity;

(c) An employment history including:

1. All gaming-related employment;
2. Any non-gaming employment for the previous ten years; and
3. Any period of unemployment in excess of one month in the previous ten years.

(d) Education and training experience in management or gaming; and

(e) A Form DBPR PMW-3460, Authorization for Release of Information, adopted by reference in Rule 61D-14.002, F.A.C., signed by the individual.

(4) Every initial application and renewal thereafter for a slot machine occupational license shall include:

(a) A duly completed original Form DBPR PMW-3410, Slot Machine Individual Occupational License Application, adopted by reference in subsection (2) above, in accordance with subsection (3);

(b) The documents to identify applicant, as provided in Rule 61D-14.010, F.A.C.;

(c) The electronic submission of fingerprints of the applicant taken by a vendor or service provider approved by the Florida Department of Law Enforcement (FDLE) to provide live-scan fingerprinting to be submitted to FDLE and the Federal Bureau of Investigations (FBI) for a state criminal background check and a federal criminal background check.

1. Each applicant must provide the correct Originating Agency Identifier (ORI) number listed on the Division of Pari-Mutuel Wagering's licensing portal website to the live-scan vendor or service provider. Failure to provide the correct ORI number may result in an incomplete application;

2. The cost of fingerprint processing, including the cost of retaining the fingerprints, shall be borne by the applicant and paid directly to the FDLE approved vendor or service provider. ~~division staff that shall be submitted for state and federal regulatory inquiry purposes; and~~

(d) The slot machine occupational license fees are ~~and fingerprint fees~~ to be paid as provided in Rule 61D-14.011, F.A.C.

(5) In the event the division determines that the licensee has applied for multiple positions that have been determined as incompatible functions as set forth in the internal controls of the employing slot machine licensee under subsection 61D-14.015(4), F.A.C., the licensee shall be informed in writing and allowed to amend the application to select the position of his or her preference.

(6) If the applicant for or holder thereof intends to claim any exemption from public records disclosure under Section 119.07, F.S., or any other exemption from public records disclosure provided by law, for any part of its application or information provided therein, it shall indicate in its application or by written notice to the division of the specific information sections for which it claims an exemption and the basis for the exemption.

(7) Each application shall be filed with the division's office located at the slot machine licensee's facility or to the division at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035.~~

(8) A request to upgrade an individual slot machine occupational license shall be made on Form DBPR PMW-3450, Slot Machine Occupational License Upgrade Application, effective 9-26-13, adopted herein by reference, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03159>, which can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035.~~

Rulemaking Authority 550.0251(2), 551.103(1), 551.122 FS. Law Implemented 550.0251(2), 551.103(1)(b), 551.107(4)(a), 551.108, 559.79(2) FS. History--New 6-25-06, Amended 12-6-06, 6-21-10, 9-26-13,_____.

61D-14.0055 Temporary Individual Slot Machine Occupational License.

(1) The division shall issue a temporary individual slot machine occupational license, general or professional, when the following conditions are met within 30 days of receipt of the application submitted pursuant to subsections 61D-14.005(2) and 61D-14.006(2), F.A.C.:

(a) The applicant has submitted a complete license application;

(b) The applicant has not been convicted of or had adjudication withheld on any disqualifying criminal offense listed in Section 551.107(6), F.S.; and

(c) The division has not issued the applicant's permanent occupational license.

(2) The 30-day requirement of subsection (1) shall be tolled when the division issues a letter notifying the applicant of errors or omissions in the license application pursuant to Section 120.60(1), F.S.

(3) All temporary licenses issued by the division are subject to the same terms and conditions of Chapter 551, F.S. and Chapter 61D-14, F.A.C., as are permanent licenses, and shall be immediately surrendered if the division:

(a) Grants the applicant a permanent license;

(b) Denies the applicant a permanent license; or

(c) Finds the applicant in violation of Chapter 551, F.S. or Chapter 61D-14, F.A.C.

(4) A holder of a temporary individual slot machine occupational license shall cease all activity requiring the possession of a slot machine occupational license if:

(a) The division denies the application; or

(b) The applicant is convicted of a disqualifying criminal offense listed in Section 551.107(6), F.S.

Rulemaking Authority 551.103(1), 551.1045, 551.122 FS. Law Implemented 551.1045, 551.107 FS. History—New 6-21-10, Amended _____.

61D-14.006 Occupational License Application Requirements for Business Entities.

(1) The slot machine occupational license requirements of this section apply to any business entities, including wide area progressive providers or sole proprietorships, as follows:

(a) A business entity shall apply for a business entity occupational license, if the business entity:

1. Acts as a slot machine management company, slot machine manufacturer or distributor, or sells slot machine gaming related products, services, or goods to a slot machine licensee; or

2. Employs individuals who may be granted access to the designated slot machine area by reason of the employment position they hold with the business entity.

(b) Business entities or their employees that do not supply slot machine gaming related products, services, or goods are not required to hold a business occupational license. However, the slot machine licensee shall be required to meet the requirements of paragraph 61D-14.051(4)(k), F.A.C.

(c) A business entity may submit a modified application to apply for a business entity occupational license under the conditions listed in subsection (4) below if it meets specific criteria listed below. The entity's employee(s) shall obtain a slot machine occupational license if they intend to be granted access to the designated slot machine area by reason of the employment position they hold with the business entity. The business entity must meet each of the following criteria for this specific licensure:

1. The service or product the business entity provides a facility licensed under Chapter 551, F.S., is not exclusively (or specifically) dedicated to slot machine gaming, or the delivery of slot machines, or the business entity is not engaged in activity directly related to slot machines;

2. The service or product the business entity provides a facility licensed under Chapter 551, F.S., requires employees of the business entity to interact or come in contact with facility slot machines, support systems, or other associated equipment connected in any way to the operation of slot machines in order to perform their responsibilities;

3. The business entity is a corporation with regularly traded shares on an established securities market in the United States;

4. The business entity is a corporation with corporate officers located in more than three states and/or overseas locations; and

5. The day-to-day management of the business entity within Florida is delegated to a senior manager resident within Florida. For purposes of this rule, the term senior manager designates an applicant's highest level manager permanently residing in Florida.

(2) An application for a business slot machine occupational license shall be made on Form DBPR PMW-3420, Slot Machine Business Entity Occupational License Application, effective 9-26-13, adopted herein by reference, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03160>, which can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~.

(3) Failure to include the following information as required by Form DBPR PMW-3420, Slot Machine Business Entity Occupational License Application, adopted by reference in subsection (2) above, shall constitute grounds to deny the incomplete license application:

- (a) The name of the business, including "doing business as" (d/b/a) names or fictitious names;
- (b) The business Federal Employer Identification Number or, for sole proprietors, a social security number;
- (c) Whether the business is a sole proprietorship, corporation, estate, trust, partnership, limited liability company, or if not one of the foregoing, a description of the business entities ownership and management structure;
- (d) Whether the applicant is seeking a one or three-year license;
- (e) A check or money order for the applicable business license fee as provided in Rule 61D-14.011, F.A.C.;
- (f) The physical and mailing address(es), including the country if not the United States of America;
- (g) A copy of the business entity's registration to do business in the state of Florida, or provide proof of attempting to obtain such registration;

~~(h)(g)~~ The name and title of a contact person working for the business, including a primary telephone number, an alternate telephone number, and a primary e-mail address;

~~(i)(h)~~ A list of all officers, directors, or managers of the business including:

1. A set of each officer, director, or manager's electronically submitted fingerprints must be that have been taken by a vendor or service provider approved by the Florida Department of Law Enforcement (FDLE) to provide live-scan fingerprinting for submission to FDLE and the Federal Bureau of Investigations (FBI) for a state criminal background check and a federal criminal background check.

i. Each officer, director, or manager required to be reported pursuant to this section must provide the correct Originating Agency Identifier (ORI) number listed on the Division of Pari-Mutuel Wagering's licensing portal website to the live-scan vendor or service provider. Failure to provide the correct ORI number may result in an incomplete application;

ii. The cost of fingerprint processing, including the cost of retaining the fingerprints, shall be borne by the applicant and paid directly to the FDLE approved vendor or service provider. law enforcement officer or division staff to allow for electronic submission to FDLE; and

2. A Form DBPR PMW-3460, Authorization for Release of Information, adopted by reference in Rule 61D-14.002, F.A.C., signed by the individual.

~~(j)(i)~~ The name, title, and job description of each employee who is required to enter any area of a slot machine licensee's facility;

~~(k)(j)~~ Disclosure of other jurisdictions in which the applicant holds, has held, or is applying for a gaming license, including any license, permit, or registry required in order to participate in any legal gaming operation.

~~(l)(k)~~ Disclosure of whether the applicant has had a gaming license in another jurisdiction suspended, revoked, or denied, or whether there are administrative, civil, or criminal proceedings in any other jurisdiction that could result in the imposition of any suspension, revocation, or denial in that jurisdiction. Such disclosure shall include:

1. A list of the applicable license, permit, or registry required in order to participate in any legal gaming operation, including any license which has been relinquished in lieu of prosecution;

2. Any denial, suspension, or revocation of a license, permit, or certification issued by any governmental agency; and

3. A copy of all court or administrative records regarding any denial, suspension, or revocation of a license, permit, or certification issued by any governmental agency.

~~(m)(4)~~ A description of the services, products or goods which the business intends to provide;

~~(n)(m)~~ A list of all ownership interests of five percent or greater. If a corporation, the name of the state in which incorporated and the names and addresses of the officers, directors, and shareholders holding five percent or more equity or, if a business entity other than a corporation, the names and addresses of the principals, partners, shareholders or any other person holding five percent or more equity;

~~(o)(m)~~ The names and addresses of the ultimate equitable owners for a corporation or other business entity, if different from those provided under paragraph (3)~~(i)(h)~~, unless:

1. The securities of the corporation or entity are registered pursuant to Section 12 of the Securities Exchange Act of 1934, 15 United States Code Sections 78a-78kk;

2. If such corporation or entity files with the United States Securities and Exchange Commission the reports required by Section 13 of the act above, or if the securities of the corporation or entity are regularly traded on an established securities market in the United States;

~~(p)(e)~~ If the applicant is a corporation, the application shall also disclose:

1. The state in which the applicant is incorporated;

2. Whether the corporation, or any officer or director of that corporation, has been convicted of a crime, and if so, provide:

a. A listing of those crimes; and

b. A copy of all court or administrative records concerning the charge and final order regarding any crime for which the corporation or officer or director was convicted.

3. A copy of the corporation's registration to do business in the state of Florida, or proof of attempting to obtain such registration;

4. The name of any person authorized to accept service of process for administrative, civil or criminal proceedings in the state of Florida;

5. A complete listing of any subsidiaries of the corporation; and

6. A complete listing of any other corporations holding an ownership interest in the applicant corporation, including any officers, directors, managers or ownership interest in such a company holding an interest in the applicant; and

~~(q)(e)~~ A list of slot machine licensees to whom the applicant intends to provide services, products or goods.

(4) The following exemptions apply if a business entity chooses to submit itself for consideration under the requirements of paragraph (1)(c) above for the division's approval. The following changes and agreement of terms of such submission apply regarding that entity's Form DBPR PMW-3420, Slot Machine Business Entity Occupational License Application, adopted by reference in subsection (2) above, and any subsequent enforcement action regarding the business entity or entity employee's conduct:

(a) The Senior Manager who is employed and resides within Florida shall be permitted to represent the business entity for purposes of fulfilling the requirements of paragraph (3)~~(i)(h)~~ above;

(b) The Senior Manager representing the entity shall obtain an individual occupational license pursuant to Rule 61D-14.005, F.A.C.;

(c) The information required pursuant to the requirements of paragraph (3)~~(n)(m)~~ above is further excluded from the required application as well as the requirement for the continued maintenance of that information in corporate records for inspection;

(d) The business entity remains responsible for all required certifications as to accuracy of the information contained on the application for that business entity, notwithstanding the fact the Senior Manager represents the entity on that application; and

(e) The entity's Form DBPR PMW-3420, Slot Machine Business Entity Occupational License Application, adopted by reference in subsection (2) above, shall be signed by an officer qualified to bind the corporation at the corporate level to contracts and similar agreements. The corporate officer's signature shall attest to the accuracy and completeness of all information submitted on the application, without reservation.

(5) The business entity, by availing itself of the provisions of subsection (4) above, agrees to the following additional requirements of this application process under this subsection:

(a) The entire corporate business entity is subjected to the regulatory requirements and mandates of Chapter 551, F.S., and applicable rules;

(b) Any disciplinary action taken as to the business entity or the business entity designated Senior Manager representative within the state shall apply to the business entity corporate record of performance within this state as it relates to slot machine gaming licensure;

(c) Upon request from another regulatory jurisdiction, the division shall report regulatory infractions and/or disciplinary action applied to the business entity in Florida as applicable to the business entity's corporate record of performance within the state without qualification or reservation.

(6) If the applicant is a business entity, it shall file its business occupational license application under oath by an officer, director, or manager who is authorized by the applicant business entity to bind the applicant to the representations made in the license application.

(7) An applicant for a license as a manufacturer or distributor of slot machines, or any equipment necessary for the operation of slot machines, shall include with its application an affidavit attesting to the fact that the applicant, its officers, directors, or employees have no ownership or financial interest in a slot machine licensee or any business owned by a slot machine licensee.

(8) If the applicant for or holder thereof intends to claim any exemption from public records disclosure under Section 119.07, F.S., or any other exemption from public records disclosure provided by law, for any part of its application or information provided therein, it shall indicate in its application or by written notice to the division the specific information sections for which it claims an exemption and the basis for the exemption.

(9) Each application shall be filed with the division's office located at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~.

Rulemaking Authority 550.0251(2), 551.103(1), 551.122 FS. Law Implemented 550.0251(2), 551.103(1)(b), 551.107, 559.79(2) FS. History—New 7-30-06, Amended 6-21-10, 8-14-11, 9-26-13,_____.

61D-14.007 Business Occupational License Requirements for an Independent Testing Laboratory.

(1) For purposes of this rule the term "direct interest":

(a) Shall mean the owning or holding of capital stock or other ownership interest by the applicant for a business occupational license or by the applicant's officers, directors, managers, employees, or ownership interest holders in a slot machine licensee, wide area progressive provider, or manufacturer or distributor of slot machines, slot machine software, or slot machine parts as defined in Chapter 551, F.S.

(b) Shall not mean direct or indirect ownership or holding of an ownership interest, however evidenced, in a publicly or privately held mutual fund, equity investment fund, or other similar investment vehicle that owns or holds an ownership interest in any of the licensed entities referred to in paragraph (1)(a), provided that:

1. The ownership interest such investment vehicle has in any of the entities or type of entities referred to in paragraph (1)(a), when considered separately, is less than five percent of the gross asset value of such investment vehicle; and

2. Investors in such investment vehicles acting individually have no control over management or investment decisions of the investment fund or similar investment vehicle.

(2) In addition to the requirements of Rule 61D-14.006, F.A.C., an applicant for a business occupational license as an independent testing laboratory to test and technically evaluate slot machines, progressive systems, or facility based monitoring systems of a slot machine licensee shall meet the following criteria:

(a) Hold current licensure, current certification to test, or a current contract in good standing with a gaming regulator in at least five jurisdictions in which electronic gaming devices are authorized;

(b) Have no contract with a state or other gaming jurisdiction that has been cancelled, suspended, or not renewed for in any way failing to provide adequate testing of slot machines or facility based monitoring systems, or other similar systems for control of slot machine gaming; and

(c) Have no direct ownership interest, either by itself or by its officers, directors, managers, employees, or ownership interest holders in any of the following, nor shall any of the following own any interest in an applicant:

1. A slot machine licensee;

2. Any business owned by a slot machine licensee;
3. A manufacturer or distributor of slot machines, slot machine software, or slot machine parts; and
4. A wide area progressive provider.

(3) An applicant for a license or renewal of such license as an independent testing laboratory of slot machines or any equipment necessary for the operation of slot machines shall include with its application an affidavit attesting that the applicant, its officers, directors, managers, and employees have no direct interest in:

- (a) A slot machine licensee;
- (b) Any business owned by a slot machine licensee;
- (c) A manufacturer or distributor of slot machines, slot machine software, or slot machine parts; or
- (d) A wide area progressive provider.

(4) An independent testing laboratory seeking a business occupational license or renewal shall provide the following information as part of its application:

- (a) The name of each person employed or with whom it has a contract related to slot machine gaming; and
- (b) The job title, license number, and state of licensure of each person listed.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (c), 551.107, 551.108 FS. History—New 6-25-06, Amended 6-21-10, 8-14-11.

61D-14.008 Occupational License Renewal Application.

(1) The application for renewal of a slot machine occupational license shall include:

(a) A completed original Form DBPR PMW-3415, Slot Machine Individual Occupational License Renewal Application, adopted by reference in Rule 61D-14.005, F.A.C., or Form DBPR PMW-3425, Slot Machine Business Entity Occupational License Renewal Application, effective 6-21-10, adopted herein by reference, and can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035;~~

(b) The fees to be paid as provided in Rule 61D-14.011, F.A.C.; and

(c) Disclosure of the following administrative, civil, or criminal actions that have occurred since the issue of the current license:

1. All administrative, civil, or criminal proceedings that have been initiated by any governmental agency or any other state or federal agency; and

2. A complete copy of the complaint, pleadings, and any final order, judgment, or other final judicial disposition for each administrative, civil, or criminal proceeding disclosed.

(2) The division shall issue a slot machine occupational license for a period of one year or three years. Applications shall be accompanied by the corresponding license fee, beginning on July 1 of each year and expiring on June 30 of the anniversary year for the license.

(3) The completed renewal application shall be filed with and received by the division between April ~~May~~ 1st and June 30th of the year the license is due to expire.

(4) The license for any person who fails to submit a completed renewal application in accordance with this section shall expire on the expiration date.

(5) Any person whose slot machine occupational license has expired and who seeks a subsequent slot machine occupational license:

(a) Within one year of the expiration of the current license shall be considered an applicant for renewal of that license.

(b) Longer than one year after expiration of the original license shall be required to make application using Form DBPR PMW-3410, Slot Machine Individual Occupational License Application, adopted by reference in Rule 61D-14.005, F.A.C., and shall provide the information required pursuant to Rule 61D-14.005, F.A.C.

(6) Any business entity whose slot machine occupational license has expired and who seeks a subsequent slot machine occupational license shall be considered an initial slot machine occupational license applicant.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), 551.107(4) FS. History—New 6-25-06, Amended 6-21-10;_____.

61D-14.009 Denial Criteria for Occupational License Application or Renewal.

The division shall deny the application for a slot machine occupational license if a review of the application or the investigation of the applicant demonstrates any of the following:

- (1) The applicant fails to provide any document required by Rule 61D-14.005 or 61D-14.006, F.A.C.;
- (2) The applicant is not at least 21 years old;
- (3) The applicant has failed to pay the license fee or fingerprint fees;
- (4) The applicant has unpaid fines from any gaming jurisdiction or holds any gaming license that is currently suspended, held a gaming license that has been suspended on multiple occasions resulting in a total time suspended of one year or more, or that has been revoked or relinquished in lieu of prosecution for a criminal, civil or administrative offense;
- (5) The applicant is an employee of the division;
- (6) The applicant is a manufacturer or distributor of slot machines who has or holds a direct or indirect ownership or financial interest in a business owned by a slot machine licensee; and
- (7) The applicant is a business entity with an officer, director, manager, shareholder or other person with the ability to control the actions of the applicant who:
 - (a) Has been convicted of any disqualifying offense under Section 551.107(6), F.S.; or
 - (b) Has unpaid fines from any gaming jurisdiction or holds any gaming license that is currently suspended, held a gaming license that has been suspended on multiple occasions, or that has been revoked or relinquished in lieu of prosecution for a criminal, civil or administrative offense.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), 551.107(5), (6) 551.107(4)(a), (b) FS. History—New 6-25-06, Amended _____.

61D-14.010 Identification of the Occupational License Applicant.

Every applicant for a professional individual, general individual, or business employee slot machine occupational license shall establish his/her identity in one of the following ways:

- (1) Providing an original or copy of one (1) of the following documents:
 - (a) A current United States of America passport;
 - (b) A Certificate of United States citizenship, or Certificate of Naturalization issued by the United States Department of Justice, Immigration and Customs Enforcement (ICE); or
 - (c) A current permanent resident card issued by the ICE, which contains a photograph; or
- (2) Providing an original or copy of any two (2) of the following documents:
 - (a) Certified copy of the birth certificate of the applicant;
 - (b) Current driver's license containing a photograph, name, signature, date of birth, sex, height, and address of the applicant;
 - (c) Current identification card issued by the Federal Department of Defense to persons who serve in the United States military or their dependents containing a photograph, name, date of birth, height, and color of eyes of the applicant;
 - (d) Current student identification card which contains a photograph, student number or social security number, date of expiration, seal or logo of the issuing institution, and the signature of the applicant;
 - (e) Current country identification card issued by the federal government or government issued identification credential which contains a photograph, the name, date of birth, sex, height, color of eyes and address of the applicant;
 - (f) Current identification card issued by the Immigration and Naturalization Service containing a photograph or information about the name, date of birth, sex, height, and address of the applicant; or
 - (g) A current foreign passport that is recognized by the Immigration and Customs Enforcement (ICE) and contains a photograph of the applicant.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), 551.107(4)(a), (d) FS. History—New 6-25-06, Amended 6-21-10.

61D-14.011 Occupational License and Fingerprint Fees.

(1) The license fee for an individual applying for a license under Rule 61D-14.005, F.A.C., shall be \$50 for a one-year license, or \$100 for a three-year license.

(2) The slot machine occupational license fee for a business entity applying for an occupational licensee under Rule 61D-14.006, F.A.C., shall be \$1,000 for a one-year license, or \$2,000 for a three-year license.

(3) An applicant for general slot machine occupational license shall provide his or her application to the division with a written acknowledgement from the slot machine licensee agreeing to pay the division the fee established in subsection (1).

(4) An applicant for a professional occupational license shall submit payments for licensure and fingerprinting to the slot machine licensee and provide an acknowledgement from the slot machine licensee agreeing to pay the division the fee established in subsection (1).

(5) The slot machine licensee shall remit a check or money order daily for payment of all general and professional occupational licenses for employees who work at the slot machine facility outlined in subsections (3) and (4) above to the division.

(6) An applicant for a business entity occupational license, including those individuals employed by the business entity, shall provide a check or money order for payment of fingerprint fees with their occupational license applications. The employing business entity may provide payment for its individual employees. The fee for fingerprinting shall equal the fee established by Section 943.053(3)(b), F.S., and subsection 11C-6.010(5), F.A.C.

(7) Payment of professional and general employee application fees by the slot machine licensee shall be submitted to the division at the division's office located on the grounds of the slot machine licensee's facility.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (g), 551.107(1), (4)(a), (d), (7)(b), (d) FS. History—New 6-25-06, Amended 9-26-13.

61D-14.012 Change of Position, Place of Work, Name, or Address.

(1) In the event a person holding a slot machine general employee occupational license changes job duties or functions, or employment to a position requiring a slot machine professional occupational license or slot machine business employee occupational license, the licensee shall apply to upgrade the license by completing Form DBPR PMW-3450-3470, Slot Machine Occupational License Upgrade, effective 9-26-13, incorporated herein by reference, <http://flrules.org/Gateway/reference.asp?No=Ref-03159>, which can be obtained at www.myfloridalicense.com or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035, prior to performing the professional-level duties.

(2) Any person employed by a slot machine licensee or slot machine business entity licensee in a position that requires a slot machine occupational license shall notify the division in writing of any change of employment to a different slot machine licensee or to any business entity licensed pursuant to Rule 61D-14.006, F.A.C., prior to commencing the new employment.

(3) Any person or entity holding a slot machine occupational license shall inform the division in writing of any change in their name or their physical or mailing address within seven days of the date the name or address changed.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (g), 551.107(4)(a) FS. History—New 6-25-06, Amended _____.

61D-14.013 Pari-Mutuel Occupational License Transition Period Provisions.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), 551.107(2)(b) FS. History—New 7-30-06, Repealed 9-12-12.

61D-14.014 Occupational Licensee Termination List.

Prior to beginning slot machine gaming, a slot machine licensee shall provide a roster of all slot machine employees to the division. Thereafter, the slot machine licensee shall submit a weekly roster change list to the division indicating all new slot machine employees and all slot machine employees whose employment has been terminated regardless of whether or not the employee's termination was voluntary.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (g), 551.107(4)(a) FS. History—New 6-25-06.

61D-14.015 Slot Machine Licensee Organizational Structure.

(1) Each slot machine licensee shall maintain an organizational structure which meets the following criteria designed to preserve the integrity of the eligible facility operation. Provided the criteria of this section are met, each slot machine licensee shall be permitted to tailor its organizational structure to meet the needs of its own particular management style. The proposed table of organization of each slot machine licensee shall be approved by the division and shall provide for the following criteria:

(a) A list identifying management and supervisory personnel holding professional occupational licenses who will be held accountable for actions or omissions within their area of responsibility; and

(b) Supervisory positions which permit the authorization or supervision of necessary transactions at all relevant times.

(2) Each slot machine licensee shall designate a chief gaming executive. The chief gaming executive shall be the person located at the slot machine licensee's facility who is responsible for the daily conduct of slot machine gaming including the direct or indirect supervision of the departments required by this section regardless of the slot machine licensee's form of business association or the particular title which that person holds.

(3) In addition to satisfying the requirements of subsection (1) above, each slot machine licensee's organizational structure shall include, at a minimum, the following mandatory departments and supervisory positions:

(a) The Accounting Department is responsible for verifying financial transactions, and reviewing and controlling accounting forms and data. The function shall include, but is not limited to, a daily audit of the slot machine gaming documentation, a daily audit of the gaming facility cage accountability, a daily audit of the vault accountability, document control and signature verification;

(b) The Cashier's Cage is responsible for the following:

1. The custody of coin, currency, documents, and records associated with the operation of a cashier's cage;
2. The receipt, distribution, and redemption of any tickets and vouchers; and
3. The segregation of funds related to slot machine activity from funds related to pari-mutuel activity;

(c) The Surveillance Department shall be independent of all aspects of gaming facility operations and shall be supervised by a gaming facility employee holding a professional occupational license assigned the position of Director of Surveillance. The Director of Surveillance shall report to the slot machine licensee, or to a corporate executive outside the immediate property management team, or to another independent reporting line. The Surveillance Department is responsible for the covert monitoring of:

1. The conduct and operation of slot machines;
2. The conduct and operation of the cashier's cage;
3. The collection and count of the slot drop;
4. The movement of any cash storage box within the facility, any bills, tickets, or vouchers removed from a slot machine, or the movement of cash while being transported to a count room or armored car bay;
5. Detection and recording of cheating, theft, embezzlement, and other illegal activities in the gaming facility; and
6. Detection of the presence in the gaming facility of any person who is required to be excluded pursuant to voluntary and involuntary exclusions;

(d) The Security Department is responsible for the overall security of the facility including the following:

1. The physical safety of patrons and employees in the slot machine licensee's facility;

2. The physical safeguarding of assets, with the exception of slot machines whose cash boxes have been removed and are under active surveillance, transported to, from, or through the facility;

3. The protection of patrons, employees and gaming facility property from illegal activity;

4. The detainment of individuals when there is probable cause to believe that they are in violation of the law or gaming regulations;

5. The recordation of any and all suspicious activity including the date, time, nature of the incident, persons involved in the incident, and the assigned Security Department personnel; and

6. The identification and removal of any person who is required to be excluded pursuant to voluntary or involuntary exclusion requirements;

(e) The Slot Department is responsible for all aspects of the operation of the slot machines and shall be supervised by a management-level employee manager or assistant manager;

(f) The Internal Audit Function of a slot machine licensee shall be through a separate or through outsourcing of this function. The Internal Audit Function shall be responsible for the following:

1. Reviewing and appraising the adequacy of internal controls;

2. Ensuring compliance with internal controls through observations and review of accounting documentation;

3. Reporting instances of non-compliance with the system of internal controls;

4. Reporting of any material weaknesses in the system of internal controls disclosed by an audit conducted under generally accepted accounting principles;

5. Recommending improvements in the system of internal controls;

6. Creating audit reports that shall include the following information:

a. Audit objectives;

b. Audit procedures and scope;

c. Findings and conclusions;

d. Recommendations, if applicable; and

e. Management's response; and

7. Internal audit findings shall be reported to management. Management shall be required to respond to internal audit findings stating corrective measures to be taken to avoid recurrence of the audit exception. Such management responses shall be included in the internal audit report that shall be delivered to management, the audit committee, the division upon request, or any other entity designated by the slot machine licensee; and

(g) The Management Information Systems (MIS) Department is responsible for the quality, reliability, and accuracy of all computer systems used in the operation and shall be responsible for and maintenance of:

1. Access codes and other data-related security controls used to ensure authorized access to computers and the system-wide reliability of data;

2. Computer tapes, disks, or other electronic storage media containing data relevant to gaming facility operations; and

3. Computer hardware, communications equipment and software used in the conduct of gaming facility operations.

(4) No person shall be assigned to ~~no duties of~~ more than one of the departments ~~department~~ listed in subsection (3) ~~and shall not perform any duties relating to any other department listed therein~~. Further, no person within a department shall be assigned job duties that would enable such a person to both perpetrate an error or commit fraud and conceal evidence of the error or fraud in the course of their duties.

(5) The slot machine licensee shall designate a custodian of records for each department referenced in subsection (3). The slot machine licensee shall provide a written notification to the division ~~and FDLE~~ listing the custodian of records for each department. The slot machine licensee shall update the list whenever the employee designated as the custodian of records is changed.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (d), (e), (i) FS. History—New 6-25-06; Amended _____.

61D-4.016 Operational Requirements.

(1) Prior to commencing slot machine gaming at its facility, a slot machine licensee shall file a certification from a licensed independent testing laboratory that verifies the following:

(a) The facilities based computer system which the slot machine licensee will use for operation and accounting functions of the slot machine facility is in full compliance with the requirements of Chapter 551, F.S., and Chapter 61D-14, F.A.C., and

(b) That each slot machine shall operate in compliance with the requirements of Chapter 551, F.S., and all rules setting forth requirements for slot machines contained in Chapter 61D-14, F.A.C.

(2) The slot machine licensee shall maintain an office on the premises of the eligible facility.

(3) The slot machine licensee shall maintain all records required by Chapter 551, F.S., and all rules setting forth requirements for slot machines contained in Chapter 61D-14, F.A.C., at the slot machine facility that at all times reflect the current ownership and, if a corporation, of every class of security issued by the slot machine licensee that shall be available for inspection by the division or FDLE at all reasonable times without notice.

(4) The slot machine licensee shall provide written certification to the division ~~and FDLE~~ from each bank, financial institution, funds transmitter or other entity that handles or facilitates the slot machine licensee's financial operations, that each such entity will accept and comply with any administrative or investigative subpoena or request for production of records from the division ~~or FDLE~~ and shall make all books and records related to the slot machine licensee available for audit or review when required by the division ~~or FDLE~~.

(5) The slot machine licensee shall post separate signage throughout the designated slot machine gaming areas providing notice of the following:

(a) Warning of the risks and dangers of gambling;

(b) Showing the odds of winning, which shall be updated quarterly and stated in one of the following ways as either:

1. The actual payout percentage for the facility based upon the previous quarter; or

2. The average of the overall certified payout percentage for the machines currently offered for play;

(c) Informing of the toll-free number available to provide information and referral services regarding compulsive or problem gambling from the division's compulsive gambling prevention program contractor; and

(d) The minimum age to play required by Section 551.113(3), F.S.

(6) The slot machine licensee or its employees shall not allow a person who has been excluded from a slot machine facility by a final order of the division pursuant to Section 551.112, F.S., to enter the slot machine licensee's facility.

(7) No less than two weeks prior to a slot machine licensee opening its facility for slot machine play, the slot machine licensee shall contact the division ~~and FDLE~~ for a trial operation day to test slot machines, the facility based monitoring system, security systems, back up systems and employee training on internal controls. The division ~~and FDLE~~ shall test for contingencies or situations that impact slot machine operations at the slot machine licensee's facility. If the slot machine licensee's systems do not function as required by Chapter 551, F.S., Chapter 61D-14, F.A.C., and the internal controls submitted for compliance with the rules, the division shall provide the slot machine licensee with a written list of deficiencies. The slot machine licensee shall advise the division ~~and FDLE~~ when those deficiencies have been addressed and the division ~~and FDLE~~ shall retest those systems to verify compliance. A slot machine licensee shall not open its facility for slot machine play until the division acknowledges in writing that all deficiencies noticed by the division are resolved.

(8) No slot machine or any part of the logic compartment referenced in Rule 61D-14.024, F.A.C., shall be removed from its location designated by the facility floor plan without prior written notification to the surveillance department and the division ~~or FDLE~~.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (e), (g), (h), (i), 551.113(3), 551.114 FS. History—New 7-30-06; Amended _____.

61D-14.017 Days and Hours of Operation.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e) FS. History--New 6-25-06, Repealed 9-26-13.

61D-14.018 State Office Space Requirements.

(1) There shall be, for the exclusive use of division ~~and FDLE employees~~, office space at each facility for regulatory ~~and law enforcement~~ purposes. The slot machine licensee shall not have access to the designated space unless authorized by the division ~~or FDLE~~ and a division ~~or FDLE~~ representative is present.

(2) The Licensing/Compliance Room shall be at least ~~600~~ 500 square feet in office area at each facility in order to station on-site division employees to facilitate the licensing process and provide workspace for compliance auditors, investigators, and other regulatory staff and meet the following minimum requirements:

(a) Internet connectivity will be provided that has bandwidth equal to or greater than 1Mb/s and at least 2 static, routable IP addresses;

(b) Connectivity to the facility based monitoring system to run slot activity reports and real time access as referenced in Rule 61D-14.048, F.A.C.;

(c) A segregated telephone communication system, which prohibits the licensee from accessing division calls, fax communication or email;

(d) A house telephone communication system and multiple handsets capable of communicating with facility security;

(e) Live-scan electronic fingerprinting equipment approved for use by FDLE as referenced in Section 551.107(7)(a), F.S.;

(f) A customer service counter for the acquisition of information from prospective applicants and to facilitate the licensing process;

(g) An electronic access badge system that records all entries on the facility's security event log referenced in Rule 61D-14.052, F.A.C.;

(h) A security camera providing coverage of the room and entryway linked to the facility's surveillance system referenced in Rule 61D-14.054, F.A.C.;

(i) A security window or feed from the security camera that allows division employees in the Licensing/Compliance room to visually identify individuals attempting to access the room;

(j) An intercom system that allows communication from the licensing counter to outside of the entry door that includes a buzzer entry system;

(k) Adequate lighting, power outlets, and ventilation as provided in other office space in the slot facility; ~~and~~

(l) Four internal security radios capable of containing all facility security channel frequencies.

(3) ~~The Secure Room space shall be at least 1,086 square feet at each facility in order to station FDLE and task force partners and shall meet the following minimum requirements:~~

~~(a) One bay area not less than 936 square feet (includes 80 square feet for a work station for real time video surveillance) to accommodate 7 special agents/analysts/task partners;~~

~~(b) One office not less than 100 square feet;~~

~~(m)(e)~~ One telecommunications closet not less than 50 square feet. This closet shall have plywood installed to facilitate the installation of no less than a T-1 circuit(s) for connectivity to ~~FDLE's~~ and the division's secure state network;

~~(n)(d)~~ The ~~secure monitoring~~ room shall be accessible through a solid core door with locking mechanism that permits entry only by employees of the division ~~and FDLE~~. ~~The office within the secure monitoring room shall be accessible through a solid core door only from the bay area;~~

~~(o)(e)~~ The interior of the ~~secure monitoring~~ room shall not be visible to the public or to the slot machine licensee;

~~(f)~~ Access to the ~~secure monitoring~~ room shall be controlled by FDLE;

~~(p)(g)~~ Switching capabilities to insure that all surveillance cameras are accessible to the monitors in the secure monitoring room; and

~~(q)(h)~~ Cabling and connecting media to accommodate telephone and communications media and computers;
and

~~(i) Eight internal security radios capable of containing all facility security channel frequencies.~~

~~(3)(4)~~ The Interview/Detention Room shall be at least 100 square feet and shall include a bench or other apparatus which is permanently affixed to the facility and to which the person in custody can be handcuffed.

~~(4)(5) Four Ten~~ parking spaces shall be provided adjacent to the facility, ~~six which are marked for FDLE use and four~~ marked for division use.

~~(5)(6)~~ The Licensing/Compliance Room, the Secure Room, and the Interview/Detention Room shall be contiguous or adjacent unless otherwise approved by the division.

~~(6)(7)~~ The telephone and communication media systems required by this section shall be segregated so that the slot machine licensee is prohibited from accessing calls or communications made from and into the licensing/compliance and secure monitoring rooms.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(i), 551.114(5) FS. History—New 6-25-06, Amended _____.

61D-14.019 Compulsive or Addictive Gambling Prevention Program.

(1) A slot machine licensee shall work with a compulsive or addictive gambling prevention program and provide training for its employees on responsible gaming in accordance with the requirements of Sections 551.104(4)(i)5, and 551.118(1), F.S. The compulsive gambling prevention program shall include, but is not limited to, the following elements:

(a) Identification of a program manager or other person responsible for ensuring that a program is implemented and administered by the slot machine licensee and monitored to maintain the minimum standards established by this rule;

(b) Printed materials to educate patrons about compulsive gambling and inform them of local and state wide resources available to compulsive gamblers and their families. The materials can include signs and posters located inside the licensed premises and brochures discussing compulsive gambling issues and sources of treatment and information. A plan shall also specify sources of the printed materials and proposed distribution methods;

(c) Completion of a log detailing employee names, dates, and training certifying that each employee required to obtain the training has done so within the time period specified by these regulations; and

(d) An annual follow-up training program to reinforce employee training.

(2) The employee training program shall include training and materials on the following topics:

(a) Characteristics and symptoms of compulsive gambling behavior;

(b) Identification of vulnerable populations, including women, low-income patrons, the elderly and persons who abuse drugs and alcohol;

(c) Techniques to be employed where a compulsive gambling problem is identified or suspected; and

(d) Assistance and referral programs, including specific resources and training on how to discuss compulsive gambling with a patron and give advice concerning access to available services.

(3) Training shall be conducted within thirty (30) days of the employee's hire date. Certification of such training shall be maintained onsite.

(4) The program shall provide for notification to compulsive or addictive gamblers of the availability to request voluntary exclusion from the slot machine licensee's facility.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (g), (i), 551.104(4)(i), 551.118(1) FS. History—New 7-30-06.

61D-14.020 Excluded Persons.

(1) The slot machine licensee's internal controls shall set forth the criteria for exclusion of individuals from the slot machine licensee's facility.

(2) Each slot machine licensee shall maintain a database of persons entitled "Exclusion List," and report such list to the division on no less than a weekly basis. The Exclusion List shall contain information on:

(a) Persons the slot machine licensee has excluded from its facilities for a specific amount of time as determined by the licensee, not including persons self-excluded as compulsive gamblers; and

(b) Persons who have been excluded by a final order of the division or an emergency order of suspension or exclusion by the division pursuant to Section 120.60, F.S.

(3) The excluded person's name shall be entered on each slot machine licensee's Exclusion List, and each slot machine licensee shall make every reasonable effort to remove any listed individual from its facility.

(4) A slot machine licensee's Exclusion List shall include the following information for each person listed:

(a) The full name and aliases, if known, of the person to be excluded;

(b) A description of the person's physical appearance, including height, weight, type, build, color of hair and eyes and other physical characteristics which would assist in the identification of the person;

(c) Date of birth;

(d) The date the person was excluded;

(e) A brief explanation of why the person has been excluded; and

(f) The length of time of exclusion that includes the start date of exclusion.

(5) If obtainable, a photograph of the excluded person shall be kept on file in the surveillance department.

(6) If the slot machine licensee withholds winnings from any excluded person, such withheld winnings shall be included in the slot machine licensee's revenues pursuant to subsection 61D-14.081(4), F.A.C.

(7) The slot machine licensee's agents or employees shall immediately inform the slot machine licensee's security department whenever an excluded person enters or attempts to enter, or is found present at a slot machine licensee's facility from which that person has been excluded. The security department shall:

(a) Request such excluded person to not enter or if on the premises to immediately leave; and

(b) Notify the appropriate law enforcement agency and the division if such excluded person fails to comply with the request of the licensee, its agents or employees.

(8) If a slot machine licensee seeks to remove an individual from the Exclusion List who has excluded himself or herself, the licensee must notify the division at 1400 W. Commercial Blvd., Ft. Lauderdale, FL 33309, at least 14 days prior to the requested removal date. The request shall be delivered on the date of the request to the division. The slot machine licensee shall submit a request to the division that includes the following information on the individual the licensee seeks to remove from the Exclusion List:

(a) The full name and any aliases, if known, of the individual currently excluded from the facility;

(b) A description of the individual's physical appearance, including height, weight, type of build, color of hair and eyes, and other physical characteristics which would assist in the identification of the individual;

(c) The individual's date of birth;

(d) The date the individual was originally excluded;

(e) The original term of the individual's exclusion;

(f) If obtainable, a photograph, and the date of the photo;

(g) A brief description of why the individual was originally excluded from the slot machine licensee facility; and

(h) A statement signed by the slot machine licensee president or general manager justifying removing the excluded individual from the slot machine licensee Exclusion List and stating that the slot machine licensee internal control requirements have been observed.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1), (g), (i), 551.112, 551.118 FS. History—New 6-25-06, Amended 6-21-10,_____.

61D-14.0211 Server Based Gaming Systems (SBGS) and Server Supported Gaming Systems (SSGS)

(1) Prior to sale or delivery of a SBGS or SSGS for play in this state, the division must receive written certification by a licensed independent testing laboratory that all criteria for operation contained in Chapter 551, F.S. and Chapter 61D-14, F.A.C., are met. The testing laboratory that certifies the system shall perform an initial onsite test to confirm the install of the system to ensure proper configuration of all security applications.

(2) Each component of a SBGS or SSGS must function as indicated by the communication protocol implemented. All protocols must use communication techniques that have proper error detection and/or recovery mechanisms which are designed to prevent tampering. Encryption with secure seeds or algorithms is required.

(3) For a SBGS or SSGS, the client must be rendered unplayable if communication from the server or system is lost. In the event of lost communication, the SBGS or SSGS must provide a means for patrons to cash out credits indicated on the server based client terminal at the time communication was lost.

(4) In the event the SBGS or SSGS is utilized in conjunction with another approved progressive network, all communications must pass through at least one approved application-level firewall and must not have a facility that allows for an alternate network path. If an alternate network path exists for redundancy purposes, it too must pass through at least one application-level firewall.

(5) Except as provided in this section, the SBGS or SSGS shall not allow for remote access. A slot machine licensee shall provide in its system of internal controls a method of providing limited remote access to the SBGS or SSGS for a business occupational licensee pursuant to Subsection 551.107(2)(a)3, F.S. Limited remote access, where permitted, shall authenticate all computer systems based on the authorized settings of the SBGS or SSGS, or firewall application that establishes a connection with the SBGS or SSGS, and:

(a) Prohibit unauthorized remote user administration functionality;

(b) Prohibit unauthorized access to any database other than information retrieval using existing functions;

(c) Prohibit unauthorized access to the operating system;

(d) The SBGS or SSGS must maintain an activity log either automatically or have the ability to manually enter the logs depicting all remote access information; and

(e) Meets all other requirements for remote access as provided for under Chapter 61D, F.A.C.

(6) A SBGS or SSGS may be a collection of servers for load balancing, redundancy or functionality reasons. The system as a whole, which may be a collection of such servers, must meet the full requirements of Chapter 61D, F.A.C., but not necessarily each individual server.

(7) For a SBGS, the game server shall generate and transmit to the client terminals control, configuration and information data, depending upon the actual implementation. For a SSGS, the game server will not participate in the game determination process, but it's primary functions will be that of downloading control programs and other software resources, or providing command and control instruction that may change the configuration of the software already loaded on the client terminal, on an intermittent basis.

(8) The servers shall be housed in a secure computer room or secure locked cabinet located at the licensed slot facility and shall have dedicated cameras that offer unobstructed views and meet all camera requirements as specified in Rule 61D-14.054, F.A.C. All servers shall have sufficient physical and/or logical intrusion protection against unauthorized access. The system shall require manufacturer and division authority providing joint but not separate access.

(9) The SBGS or SSGS interface element setup and/or configuration menu(s) must not be available unless using an authorized access method that is secure. There shall be no means available for an operator to conduct programming on the server in any configuration. However, it shall be acceptable for licensed network administrators to perform authorized network infrastructure maintenance, provided that all requirements are met as detailed under Rule 61D-14.074, F.A.C. All SBGS or SSGS servers and client devices shall have:

(a) Industry-standard virus protection; and

(b) Copy protection to prevent unauthorized proliferation or modification of software, for servers or clients, provided that:

1. The method of copy protection is fully documented and provided to the licensed independent testing laboratory, who will verify that the protection works as described; and

2. Any device(s) involved in enforcing the copy protection can be individually verified by the division.

(10) The SBGS or SSGS shall be designed to protect the integrity of pertinent data in the event of a failure. Audit logs, system databases, and any other pertinent data must be stored using a protection method determined as reasonable by the division. If hard disk drives are used as storage media, data integrity must be assured in the event of a disk failure. The protection method employed must also provide open support for backups and restoration. Backup scheme implementation must occur at least once every twenty-four (24) hours. In the event of a catastrophic failure when the SBGS or SSGS cannot be restarted in any other way, it shall be permitted, with prior written approval of the division, to reload the database from the last viable backup point and fully recover the contents of that backup. The SBGS or SSGS must implement self-monitoring of all critical interface elements, including but not limited to central hosts, network devices, firewalls, and links to third parties, and shall have the ability to effectively notify the system administrator of the condition, provided the condition is not catastrophic. The SBGS or SSGS shall be able to perform this operation with a frequency of at least once in every twenty-four (24) hour period.

(11) Each component of the SBGS or SSGS must have a method to be verified via a division approved third-party verification procedure. The third-party verification process shall not include any process or security software provided by the operating system or manufacturer. The SBGS or SSGS must be capable of verifying that all control programs contained on the server or system portion are authentic copies of approved components both automatically at least once every twenty-four (24) hours and on demand if requested. The method of validation must provide at least 128 bits of resolution or must be a bit-for-bit comparison and must prevent the execution of any control program component if the component is determined to be invalid. If an error(s) is detected, the system must provide a visual notification of the invalid program. A program component of the verification mechanism must reside on and securely load from non-alterable media. A report shall be available at the request of the division which details the outcome of each automated execution of the validation mechanism and shall identify any invalid program components.

(12) Program devices that only use read-only memory, such as smart cards, may be used provided they are able to be verified by the following methodology:

(a) A challenge is sent by the peer device, such as a hashing seed, to which the device must respond with a checksum of its entire program space using the challenge value; and

(b) The challenge mechanism and means of loading the software into the device is verified by the licensed independent testing laboratory.

(13) The SBGS or SSGS shall provide the ability to conduct an independent integrity check of all applicable controlled components residing on the system. The third-party verification process shall be approved by the division, and shall not include any process or security software provided by the operating system manufacturer.

(14) The SBGS or SSGS shall provide the ability to authenticate all applicable controlled components for which a copy resides on the system on demand and once every twenty-four (24) hours and:

(a) The SBGS or SSGS shall authenticate all critical files including, but not limited to, executables, data, operating system files and other files, which may affect the game outcome or operation, and for which a copy resides on the system.

(b) The SBGS or SSGS shall employ a third-party industry-standard secure hashing algorithm. If embedded, the manufacturer must be able to demonstrate the algorithm of choice to both the licensed independent testing laboratory and the division.

(c) A report shall be available at the request of the division that details the verification results for each controlled component verification.

(d) In the event of failed authentication, the SBGS or SSGS shall deactivate the controlled component in a manner in which the download, install, and configuration of the controlled component to a connected client terminal is not possible. The SBGS or SSGS shall also provide a mechanism to provide notification of the authentication failure to the division.

(15) The server that supports a SBGS or SSGS must be able to provide the following information display:

(a) A complete play history for the most recent game played and at least nine (9) games prior to the most recent game for each client station connected to the server based game. The display must indicate the game outcome,

intermediate play steps, credits available, bets placed, credits or coins paid, and credits cashed out. The capability to initiate game recall must be available at the client, for recall information specifically associated with the particular client station initiating the game recall. The capacity to initiate game recall for any and all clients that make up the SBGS or SSGS must be available from the system or server portion of the SBGS. The requirement to display game recall applies to all game programs currently installed on the server portion of the server based game.

(b) A complete transaction history for transactions with a cashless wagering system to include the most recent and the previous thirty-four (34) transactions prior to the most recent transaction for each client station that incremented any of the cashless in-or out meters. The capability to initiate transaction history must be available at the client terminal for the transaction history specifically associated with the particular client terminal initiating the history information request.

(16) The SBGS or SSGS download data library shall only be written to using a secure methodology approved by the division, access to which is controlled by the division and in a manner acceptable to the division, in which case the licensed manufacturer and/or licensed slot machine operator will be able to access the download data library, provided that this access does not permit adding new download data files; or the download data library shall only be written to using a method that is acceptable by the licensed independent testing laboratory and the division. Any changes that are made to the download data library, including the addition, changing or deletion of game programs, must be stored in an un-alterable audit log, which shall be available at the request of the division, and shall include, at a minimum:

- (a) Time and date of the access and/or event;
- (b) Log-in name; and
- (c) Download data files added, changed, or deleted.

(17) Any record of activity between the server and the client that involves the downloading of program logic, the adjustment of client settings and/or configurations, or the activation of previously downloaded program logic, must be stored in an unalterable audit log, which shall be available at the request of the division, and shall include:

(a) The client terminal(s) which the game program was downloaded to and, if applicable, the program it replaced; and

- (b) The client terminal(s) which the game program was activated on and the program it replaced; and
- (c) Changes to the client terminal configuration settings and/or configurations and what the changes were.

(18) The client terminal and/or the SSGS server must have a method to monitor and report to the facility based monitoring system (FBMS) all external door access during a foreground program download and/or activation process. Prior to execution of updated software, the client terminal must be in an idle state for four (4) minutes and the software successfully authenticated, as provided for under Chapter 61D, F.A.C. Prior to any software being added or removed from a gaming device or client station comprising a part of a system supported game, that would result in the loss or change of mandatory accounting meter information; a complete set of meter information must be successfully communicated to a slot accounting system. It must be possible for the division to perform an analysis of the game, which may include viewing the game data at the SBGS or SSGS server and/or being able to place the game data back onto another client terminal for further examination.

(19) Client terminal control programs that offer multiple paytables and/or denominations that can be configured via the SBGS or SSGS server will not require additional approval by the division to change the payable selected, provided:

(a) All paytables that are available are certified by a licensed independent testing laboratory as meeting the requirements contained in Chapter 551, F.S. and Chapter 61D-14, F.A.C.;

(b) Received the prior approval of the division;

(c) The client terminal and/or SBGS or SSGS server maintains the amounts bet and amounts won meters within critical memory for each of the paytables that are available;

(d) The client terminal maintains the master accounting meters in currency amounts;

(e) The game is in an idle state when the update occurs; and

(f) The change will not cause any inaccurate crediting or payment.

(20) The process of clearing memory on the client terminals via the SBGS or SSGS must utilize a secure

method that meets all requirements as provided for under Rule 61D-14.044, F.A.C. In the event the SBGS or SSGS has the ability to download random values to the client terminal, the random number generator shall function in accordance with at least a 99% confidence level and meet all other requirements as outlined in Chapter 61D, F.A.C.

(21) The SBGS or SSGS client terminal(s) may receive game play information from the game server, in the case of a SBGS, or make its own determination in the case of a SSGS, and then display the information to the player. All client terminals must conform to all requirements for Gaming Devices established by Chapter 551, F.S., and Chapter 61D-14, F.A.C.

Rulemaking Authority 551.103(1), (2) 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (h), (i), (2) FS. History–New _____.

61D-14.022 Slot Machine, Slot Machine Components, and Progressive System Requirements.

(1) Slot machine licensees shall only offer slot machines that transmit or track financial data using a game services protocol, such as the Slot Accounting System (SAS), ~~except for~~ progressive systems, and SBGS or SSGS which, when communicating from machine to machine, may use any generally accepted communication protocol certified by an independent testing laboratory.

(2) Prior to the sale or delivery of a slot machine, ~~or~~ progressive system, SBGS, or SSGS for play in this state, the division must receive written certification by a licensed independent testing laboratory that all criteria for operation contained in Chapter 551, F.S., and Chapter 61D-14, F.A.C., are met.

(3) The manufacturer of any slot machine, slot machine game, ~~or~~ progressive system, SBGS, or SSGS to be offered for play in this state is responsible for all compliance testing.

(4) Slot machines and progressive systems shall be capable of resuming game play without operator intervention and shall withstand the following tests where applicable:

- (a) Random Number Generator Test;
- (b) Electro-Magnetic Interference Test;
- (c) Electro-Static Interference Test;
- (d) Radio Frequency Interference (RFI) Test;
- (e) Magnetic Interference Test; and
- (f) Liquid Spills Test.

(5) A slot machine shall have an identification badge permanently affixed to the exterior of the slot machine cabinet by the manufacturer, which shall include:

- (a) The name of the manufacturer;
- (b) A unique serial number;
- (c) The slot machine model number; and
- (d) The date of manufacture.

(6) Slot machine components, including progressive systems and any software requiring certification by an independent testing laboratory, shall have an identification affixed to the exterior of the component by the manufacturer, where applicable, which shall be the date of manufacture and either:

- (a) The name of the manufacturer;
- (b) A unique serial number; or
- (c) A part number unique to that type of component if applicable.

(7) For bets greater than one credit, the slot machine shall display, through monitors, paytables (machines face glass), decals, or button tiles, the minimum monetary wager for the minimum required play.

(8) All slot machine external doors shall be locked.

(9) The opening and closing of all slot machine external doors shall be:

- (a) Monitored by door access sensors, which shall immediately:
 1. Detect when a door is opened or moved from its fully closed and locked position;
 2. Report the door opened event to the slot machine by way of an error; and

3. Notify the surveillance department of the door opening, which shall monitor and record all activities at that slot machine until such time as the incident has been satisfactorily resolved.

(b) Logged in a machine entry authorization log (meal book) maintained inside the locked compartment of the slot machine, which shall include the name of the occupational licensee opening the door, time of opening, and reason for opening.

(10) The slot machine shall have a light or audible alarm, or both, that automatically illuminate and sound when:

(a) A player attempts to redeem credits that the slot machine cannot automatically pay;

(b) An error condition has occurred; or

(c) A player has initiated a "Call Attendant" condition.

(11) The power switch for a slot machine shall be:

(a) Clearly labeled; and

(b) Located within the interior of the slot machine.

(12) The operation of a slot machine, slot machine component, slot machine game, or progressive system:

(a) Shall not be altered by surges or reductions of $\pm 10\%$ of the power supply voltage; and

(b) May be reset if there is no:

1. Damage to the equipment; or

2. Loss or corruption of data.

(13) Each individual slot machine shall be controlled by one or more microprocessors, which shall be physically located within the slot machine's locked logic compartment and have a key different from the key used for the slot machine main door.

(14) Ticket printers shall be in a locked area of the slot machine and provide an alert when the ticket printer:

(a) Is out of paper;

(b) Is low on paper;

(c) Is disconnected; or

(d) Has a printer jam or failure.

(15) The slot machine shall enter a lock-up condition if:

(a) The sum of the award from the single play of a game is equal to or greater than \$1,200.00, at which time a manual jackpot payment shall be made pursuant to Rule 61D-14.075, F.A.C.;

(b) The integrity of the machine is compromised; or

(c) A component critical to the proper operation of the machine has failed.

(16) The lock-up condition shall require an attendant to:

(a) Complete any required manual jackpot payment consistent with Chapter 61D-14, F.A.C.; or

(b) Clear the error on the slot machine before play may resume on the slot machine.

(17) A slot machine shall have an electronic identification card reader which shall be used to communicate with the FBMS.

(18) Any adjustments made to a slot machine's gaming options, slot machine components, or a progressive system during a RAM clear must be completed pursuant to Rule 61D-14.044, F.A.C.

(19)

(a) Any software ~~(19) Software~~, software components, SBGS, SSGS, and associated hardware shall:

1. ~~(a)~~ Not be introduced into a facility before division approval;

2. ~~(b)~~ Not be duplicated by the facility;

3. ~~(c)~~ Be stored within a locked cabinet located at the licensed slot facility or, if SBGS or SSGS, in a secure system server located at the licensed slot facility, with:

1. ~~Titles that require complete software reload and contain both game title and RAM clear software on the same piece of storage media along with other RAM clear software utilized only for RAM clear purposes secured within a single lock cabinet accessible by the slot licensee.~~

(b)2. ~~Actual game title software and logic software secured within a dual locked cabinet accessible only by the slot licensee in the presence of a division representative, and:-~~

~~1.(d)~~ Be tracked using a log that includes:
~~i.1.~~ Date and time inventory is changed;
~~ii.2.~~ Independent testing laboratory certification number;
~~iii.3.~~ Software version;
~~iv.4.~~ Software status;
~~v.5.~~ Manufacturer name;
~~vi.6.~~ Count of total on-hand inventory that includes software added and removed; and
~~vii.7.~~ License number and signature of the slot machine licensee employee adding or removing software from inventory.

~~2.(e)~~ Must be ~~Be~~ released to the division for destruction when it reaches obsolete or revoked status; and

~~3.(f)~~ Must be for ~~Exclude~~ those slot machine game titles that require complete software reload and contain both game title and RAM clear software on the same piece of storage media. This type of game/RAM clear software shall be stored in the same cabinet as the other RAM clear software to be utilized when needed for RAM clear purposes only.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (h), (i) FS. History–New 7-30-06, Amended 8-14-11, 9-26-13,_____.

61D-14.023 Slot Machine Base Doors.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1) FS. History–New 6-25-06, Amended 6-21-10, Repealed 9-12-12.

61D-14.024 Logic Compartment.

(1) The logic compartment is a locked compartment contained within each slot machine cabinet which shall:

- (a) Have its own locked door;
- (b) Be separate from any external door lock; and
- (c) Contain, at a minimum, the central processing unit or units that control the slot machine.

(2) A slot machine or slot machine game, SBGS, or SSGS may not be offered for play at a slot machine licensed facility until:

(a) A licensed independent testing laboratory has certified that it meets all requirements of Chapter 551, F.S., and Chapter 61D-14, F.A.C.;

(b) The division has verified the identity of the slot machine software program and confirmed that it has been certified by an independent testing laboratory; and

(c) The division has sealed the logic compartment with evidence tape.

(3) The division shall apply evidence tape to any slot machine components that could affect the outcome of the game, including progressive systems where applicable and as required by this chapter.

(4) Any occupational licensee who observes that a piece of evidence tape has been tampered with in any way shall notify facility surveillance, which shall:

- (a) Notify the division;
- (b) Ensure the slot machine is not offered for play until the completion of an investigation; and
- (c) Notify the division regarding the results of the investigation.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (i) FS. History–New 7-30-06, Amended 8-14-11, 9-26-13,_____.

61D-14.025 Currency Compartments.

All currency compartments shall be locked separately from the main cabinet area and shall require a key that is different from the key required to open the main cabinet door. Currency compartments shall also meet the following requirements:

- (1) The compartment shall be fitted with sensors that will allow the slot machine to immediately communicate the currency door open event or when the storage container has been removed;
- (2) Access to the currency storage area shall be through a locked relevant outer door plus one other door or lock, before the receptacle or currency can be removed; and
- (3) The bill stacker device shall have a “stacker full” sensor.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g), (i) FS. History–New 6-25-06.

61D-14.026 Cabinet Wiring.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History–New 6-25-06, Repealed 9-12-12.

61D-14.028 Printed Circuit Board (PCB) Identification. (Repealed)

~~Each Printed Circuit Board (PCB) shall be identifiable by a permanently affixed name or number, and revision level and:~~

- ~~(1) The top assembly revision level of the PCB shall be identifiable;~~
- ~~(2) Spare PCBs shall be inspected and approved by the division, then kept and maintained in a secure area. Such PCBs shall meet all the requirements of this section;~~
- ~~(3) Manufacturers shall ensure that PCBs, used in their slot machines, conform to the documentation and the certified versions of those PCBs that were evaluated and certified by a licensed independent test laboratory;~~
- ~~(4) The slot machine licensee shall maintain a log of all PCBs that tracks each PCB to its original approved software number, PAR sheet, and asset number; and~~
- ~~(5) The PCB and the log required in subsection (4) shall be presented to the division for inspection and approval prior to slot machine being offered for play.~~

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History–New 6-25-06, Repealed _____.

61D-14.029 Mechanical Devices Used for Displaying Game Outcomes.

- (1) Electro-mechanically controlled display devices shall have a closed loop of control so as to enable the software to detect a malfunction or an attempt to interfere with the correct operation of that device. If a reel or wheel is not in the position it is supposed to be in, an error condition shall be generated.
- (2) Mechanical assemblies shall have a mechanism that ensures the correct mounting of the assembly’s artwork.
- (3) Displays shall be constructed in such a way that winning symbol combinations match up with pay lines or other indicators.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History–New 6-25-06.

61D-14.030 Video Monitors/Touchscreens.

Games that have video monitors shall meet the following requirements:

- (1) The slot machine licensee shall maintain any touch screen monitors to ensure the accuracy of the calibration of the machine;
- (2) A touch screen shall be capable of being re-calibrated by the slot machine licensee’s staff without access to the slot machine cabinet other than opening the main door;
- (3) There shall be no hidden or undocumented buttons or touch points anywhere on a touch screen; and

(4) The slot machine shall be capable of displaying all possible outcomes of play of the machine during testing.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History—New 6-25-06.

61D-14.031 Bill Acceptors.

All acceptance devices shall be able to detect the entry of bills, tickets, or vouchers and provide a method, utilizing a bi-directional communication protocol, to enable the slot machine software to interpret and act appropriately upon a valid or invalid input. The bill input system shall be electronically based and constructed in a manner that protects against vandalism, abuse, acceptance of invalid bills, tickets, or vouchers, or other fraudulent activity. Bill acceptance device(s) shall only register credits when the bill, ticket or voucher has passed the point where it is accepted and has been irrevocably stacked.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History—New 6-25-06.

61D-14.032 Progressive System Requirements.

(1) With the prior approval of the division, one or more slot machine licensees may operate any wide area progressive (WAP) system or local area progressive (LAP) devices certified by a licensed independent testing laboratory in compliance with Chapter 551, F.S., and Chapter 61D-14, F.A.C.

(2) To obtain the approval to participate in WAP gaming, a slot machine licensee shall provide the division with a copy of the WAP agreement, which must specifically describe and identify the role, authority, and responsibilities of each casino licensee and each WAP provider participating in the conduct of the wide area progressive system, and the WAP provider must:

- (a) Utilize multiple demark stations;
- (b) Be licensed in at least two other jurisdictions where slot machine gaming is authorized; ~~and~~
- (c) Not connect to any system outside of the United States; ~~and-~~
- (d) Be approved by the division.

(3) A WAP or LAP slot machine utilizing multiple level jackpots shall:

- (a) Clearly display the amount of wager necessary to attain each level of the jackpot award;
- (b) Clearly indicate which level(s) the player is playing for; and
- (c) Not be used as a tournament slot machine or in any tournament style gaming.

(4) The progressive jackpot amount displayed on any WAP or LAP slot machine jackpot meter shall not be altered, unless:

- (a) The jackpot amount is awarded;
- (b) The meter requires an adjustment because of a functional error and the division approves the adjustment; or
- (c) The amount of the progressive jackpot, minus the reset amount, is distributed to another WAP or LAP slot machine, in which case:

1. The licensee must document the redistribution and report it to the division;

2. The redistribution must be dispersed to another WAP or LAP slot machine that does not require a higher wager amount for its progressive win; and

3. The redistribution must be dispersed to another WAP slot machine of the same host or a LAP within the same licensed facility; ~~and-~~

4. The redistribution is approved by the division, taking into consideration:

i. Incrementation rates;

ii. Denomination;

iii. Protection of player contributions;

iv. Dilution of jackpots; and

v. Other factors that may operate to the detriment of players.

5. The redistribution shall occur no later than seven (7) days from receipt of division approval.

(5) Upon validation of a jackpot award, the total prize shall be awarded to the patron in accordance with applicable law and the slot machine licensee's internal controls.

(6) A LAP slot machine may not be offered for play as a WAP slot machine if the game is configured as a single level progressive. A LAP machine configured with multiple progressive levels may offer a WAP amount as a top award if the LAP/WAP combination is certified by an independent testing laboratory as meeting all the requirements of Chapter 551, F.S., and Chapter 61D-14, F.A.C.

(7) Documentation accompanying the progressive system will include:

(a) The type of progressive system the controller utilizes;

(b) The configuration of each type including:

1. Stand alone;

2. Linked; and

3. Multi-site.

(c) A listing of error conditions;

(d) The number of displays the progressive controller can support; and

(e) A description of the events that take place when a progressive jackpot is won.

(8) Only one game on any linked progressive system can function as the master progressive controller when the progressive system utilizes a master controller configuration, and if:

(a) The master controller becomes inoperative, all linked games must disable; or

(b) Any game within the linked games loses communication with the master controller, that game must be disabled.

(9) The progressive controller must be able to display all setup parameters.

(10) The approval of a multi-site WAP system shall be certified in two phases:

(a) First by an independent testing laboratory for the integrity of the gaming device in conjunction with the progressive system; and

(b) Second by onsite certification by the independent testing laboratory where the progressive communications and setup are tested prior to implementation.

(11) All slot machine licensees operating a progressive system shall, with respect to each system they operate, prepare a daily progressive report that includes date, time, progressive (name/number), progressive type, banks(s)/machine(s), and progressive amounts.

(12) Gaming machines connected to the WAP or LAP system or device must satisfy the following to ensure parity of play among players at all game locations:

(a) Be all of the same denomination and levels of play with equivalent odds of winning any common payoff schedule or award. For the purposes of this subsection, equivalent is defined to mean no more than a one-percent (1%) tolerance on return to player or payback;

(b) Require the same wager amount or less to win the payoff schedule or award, regardless of the device's denomination.

(13) Any WAP or LAP system or device must, at a minimum, provide that:

(a) Patron disputes will be resolved under procedural and substantive requirements equal to or greater than the established and/or requirements set forth by the division under applicable law and/or rule;

(b) Surveillance and security of gaming devices connected to such system in accordance with applicable requirements under law and/or rule of the division;

(c) Record-keeping and record-retention procedures in accordance with applicable requirements under law and/or rule of the division; and

(d) Safeguards for control of access to any internal mechanism of gaming devices connected to such system.

(14) In the event the progressive resides on a SBGS or SSGS, all progressive functionality over the client server system must be verified by the independent laboratory including hardware, software, and connectivity.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g), 551.121(5) FS. History—New 8-14-11; Amended _____.

61D-14.033 Progressive Displays and Controllers.

- (1) All progressive jackpot displays shall:
 - (a) Be visible to all players playing the machine;
 - (b) Show all values as dollars and cents; and
 - (c) Show the progressive jackpot amount close to near real time.
- (2) If any progressive system interfaces with the player tracking systems display, it must conform to the requirements of Rule 61D-14.076, F.A.C.
- (3) Any modification of a progressive systems contribution amount or base value shall require:
 - (a) Prior written approval from the division; and
 - (b) The presence of a division representative.
- (4) When a progressive controller error occurs:
 - (a) An alert must be recorded by the progressive system; and
 - (b) The error condition must be visibly displayed to expedite repairs as soon as possible.
- (5) In the event a progressive controller needs to be replaced outside normal DBPR working hours, a licensed representative from the manufacturer may replace the progressive controller with another progressive controller having the exact same configuration, provided a full report is generated and submitted to the division by 12:00 noon on the first business day following the completion of the replacement.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g), 551.121(5) FS. History–New 8-14-11.

61D-14.034 Progressive Jackpots.

- (1) All progressive systems or controllers shall have the ability to record the following information for each progressive amount:
 - (a) The current prize amount;
 - (b) The number of progressive wins;
 - (c) The history of at least the last five progressive awards;
 - (d) The starting award value;
 - (e) The jackpot award value limit, if applicable;
 - (f) The initial incremental percentage rate at which an award is increased;
 - (g) The secondary incremental percentage rate at which an award is increased after the jackpot limit is reached;
 - (h) The overflow incremental percentage increment rate for the reserve pool;
 - (i) The base reset amount after the progressive jackpot is awarded; and
 - (j) The slot machines participating in the progressive jackpot.
- (2) Any modification of a progressive system or reset of a progressive jackpot amount shall require:
 - (a) Prior written notification to the division; and
 - (b) The presence of a division representative.
- (3) All progressive jackpot amounts shall be equal to or greater than the reset amount of each progressive machine.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g), 551.121(5) FS. History–New 8-14-11.

61D-14.036 Slot Machine Tournament.

- (1) A slot machine tournament is an organized event at which players have the opportunity to engage in competitive play against other players using slot machines the division has approved for that purpose.
- (2) A slot machine licensee shall not operate a slot machine tournament unless it has submitted the following to the division at 1400 W. Commercial Blvd., Ft. Lauderdale, FL 33309, for approval in writing:
 - (a) Tournament rules of play consistent with Chapter 551, F.S.; and
 - (b) A floor plan of the location of the specific slot machines selected for tournament play within the gaming area.

(3) Any slot machine and associated slot machine component that is part of a slot machine tournament shall:

(a) Comply with the requirements of Chapter 551, F.S., and the administrative rules adopted pursuant to that chapter. However, the percentage requirements of Section 551.104(4)(j), F.S., and the percentage requirements of the rules adopted pursuant to Chapter 551, F.S., do not apply to tournament play.

(b) Be equipped with a program certified by an independent testing laboratory licensed by the state which allows for the tournament mode of play.

(c) Disable normal mode of play for those machines selected for tournament play.

(d) Be enabled centrally or by a switch key (reset feature) and/or total replacement of the logic board with a certified tournament board if tournament is an option.

(4) A gaming device, while enabled for tournament play shall:

(a) Not accept credits from any source;

(b) Not pay out credits in any way;

(c) Use tournament credits only, which shall not have cash value;

(d) Not increment any mechanical or electro-mechanical meters; and

(e) Not communicate any accounting information to the facility based monitoring system during tournament play.

(5) The facility based monitoring system shall create an electronic entry in the event log for any slot machine entered into tournament mode.

(6) Tournament winnings shall not be deducted from net slot machine revenues or winnings of slot machine gaming.

(7) The slot machine licensee shall provide a report of electronic meter readings from its facility based monitoring system to the division for each of its slot machines designated for tournament play immediately before the machine is enabled in the tournament mode of play and after the machine is returned to normal mode of play.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1) FS. History—New 6-21-10.

61D-14.037 Games with Bonus Features, Multiple Win Lines, Prizes.

(1) If the slot machine game, SBGS, SSGS, or progressive system slot machine contains a bonus feature including a “game within a game,” the following requirements shall be met:

(a) The game shall display to the player which game rules apply to the current game state;

(b) The number of plays remaining for the free game event shall be displayed as each free game is played;

(c) If a bonus or feature game requires extra credits to be wagered the game shall provide the player an opportunity to not participate;

(d) The probability of obtaining winning events or symbols on the base game shall not decrease as the game progresses; and

(e) The game shall display to the player that the game is in a bonus feature mode.

(2) Any “game within a game” or bonus feature of a progressive slot machine shall:

(a) Be a function of the base game;

(b) Not add bonus feature amounts to the progressive total; and

(c) Not increase or decrease a patron’s probability of winning the progressive jackpot other than to add additional credits for future play or cash out when the cash out button is engaged.

(3) If a mystery progressive jackpot is offered:

(a) All machines of the same play denomination linked to the mystery progressive must have the same probability of winning the mystery jackpot and shall notify the patron of the award; or

(b) All machines of differing denominations linked to the mystery progressive shall have an adjusted probability of winning the mystery jackpot based upon the contribution to the jackpot and shall notify the patron of the award.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g), 551.121(5) FS. History—New 6-25-06, Amended 8-14-11,_____.

61D-14.038 Percentage Payout and Odds.

(1) An independent test laboratory licensed by the state (laboratory) shall:

(a) Certify a slot machine game for play in Florida only when the manufacturer's Payout and Retention (PAR) sheet for that slot machine game indicates a probable minimum payout percentage of at least 85 percent of all credits played over the mathematical (lifetime) cycle of the game at a 95 percent level of confidence;

(b) Test each slot machine game independently to certify that the game meets the probable minimum payout indicated on the manufacturer's PAR sheet at a 99 percent level of confidence;

(c) Certify in writing to the Office of Slot Operations, Division of Pari-Mutuel Wagering, North Broward Regional Service Center, 1400 West Commercial Boulevard, Suite 165, Ft. Lauderdale, Florida 33309-3787:

1. The game's minimum and maximum theoretical payout percentage;

2. The game has been tested and meets the provisions of Chapter 551, F.S. and Chapter 61D-14, F.A.C.; and

3. The game performs as described in the manufacturer's PAR sheet.

(2) A slot machine game manufacturer or distributor shall provide a PAR sheet to the slot machine licensee and the division at the address in paragraph (1)(c) of this rule upon delivery of each slot machine game to a slot machine licensee in Florida. The volatility index for the game shall be reflected on each manufacturer's PAR sheet.

(3) Upon the alteration or revision of any previously certified game, the slot machine manufacturer shall submit the game to the laboratory which shall re-evaluate the minimum theoretical payout percentage and provide an amended report to the division complying with subsection (1) of this rule.

(4) Slot machine games used at Florida slot machine licensee facilities shall:

(a) Have a total payout over the cycle of both the bonus and non-bonus part of the game combined that conforms to the minimum theoretical payout percentage of 85 percent;

(b) Meet the minimum theoretical payout percentage of the game at all times pursuant to the reporting frequency required in subsection (5) of this rule; and

(c) Meet the minimum theoretical payout percentage of the game when playing at the lowest end of a non-linear payable.

(5) The slot machine licensee shall create a semi-annual report using the facility based monitoring system (FBMS), demonstrating an overall floor average of 85 percent or higher and providing the following information for each slot machine in play:

(a) The lifetime actual payout to the end of the reporting period;

(b) The actual number of plays since the installation of the game;

(c) The theoretical payout percentage; and

(d) The minimum number of handle pulls required to reach the minimum payout percentage as indicated on the PAR sheet.

(6) The semi-annual report required by subsection (5) of this rule shall be filed with the division at the address in paragraph (1)(c) of this rule, electronically or in writing, for each of the following periods:

(a) January 1 through June 30; and

(b) July 1 through December 31.

(7) If the report required by subsection (5) of this rule shows that a slot machine facility's gaming floor payout is less than 85 percent, the slot machine licensee shall notify the division in writing of the identity of the slot machine game.

(8) If, in two consecutive semi-annual reports, any slot machine game fails to remain at 85 percent or higher, the division will verify the operating software.

(9) Each slot machine licensee shall maintain records demonstrating:

(a) The semi-annual report results required in subsection (5) of this rule for each slot machine game that has been placed on the gaming floor;

(b) The actual payout percentage for each slot machine game at the time of each semi-annual report required in subsection (5) of this rule;

(c) The recomputed payout percentage for each slot machine game and whether the payout percentage is within its volatility range; and

(d) Any record regarding software operating program verification by the division pursuant to subsection (8) of this rule.

(10) The records generated under this rule shall be maintained consistent with Rule 61D-14.080, F.A.C.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (h), 551.104(4)(j) FS. History—New 6-25-06, Amended 6-21-10, 8-14-11.

61D-14.039 Credit Redemption, Meter, Cancel Credit, and Taxation Reporting Limits.

(1) A patron shall have the option to collect any of their remaining credits from the slot machine by the player pressing the ‘CASH OUT’ button at any time other than during a time when:

- (a) A game is being played;
- (b) A game is in audit mode;
- (c) Any time a door is open;
- (d) A game is in test mode;
- (e) A credit meter or win meter incrementation is indicated, unless the entire amount is placed on the meters when the collect button is pressed; or
- (f) A game is in a payout or a memory error condition is indicated.

(2) The credit meter shall be maintained in credits or cash value.

(3) The patron's current options and/or choices shall be clearly indicated electronically or by video display. These options shall not be misleading.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e) FS. History—New 7-5-06.

61D-14.040 Game Cycle, Payment of Credits by Ticket Printer, and Ticket Redemption.

(1) A game shall be considered completed when the final transfer to the player’s credit meter takes place, in case of a win, or when all credits wagered or won that have not been transferred to the credit meter, are lost. The following are all considered to be part of a single game:

- (a) Games that trigger a free game feature and any subsequent free games;
- (b) “Second screen” bonus feature(s);
- (c) Games with player choices;
- (d) Games where the rules permit wagering of additional credits; and
- (e) Double-up/gaming features.

(2) Payment of credits by ticket printer as a method of credit redemption shall only be permissible when the slot machine is linked to a computerized ticket validation system, which allows validation of the printed ticket. The ticket validation system shall be able to identify duplicate tickets and allow for a final ticket to be printed in the event of loss of communication between slot machines with the ticket validation system. A ticket shall contain the following information:

- (a) Slot machine licensee name/site identifier;
- (b) Machine asset number or cashier/change booth location number;
- (c) Date and time in a 24 hour format;
- (d) Alpha and numeric dollar amount of the ticket;
- (e) Ticket sequence number;
- (f) Validation number, unless the ticket is printed due to a loss of communication with the ticket validation system;
- (g) Bar code or any machine readable code representing the validation number;
- (h) Type of transaction or other method or differentiating ticket types; and
- (i) Indication of an expiration period from date of issue, or date and time the ticket will expire in a 24 hour format based upon the local date/time format.

(3) A slot machine shall only generate a ticket through an internal document printer by redeeming all credits.

(4) Tickets or payment vouchers shall only be paid at a cashier’s cage or ticket payment automated ticket redemption machine linked to the ticket validation system.

(5) Where ticket validation is to take place at the cashier's cage ~~a cashier/change booth~~, the cashier shall print a validation receipt or note in the cashier's reconciliation report, after the ticket is electronically validated. The validation receipt or report shall contain the following ~~printed~~ information:

- (a) Machine asset number;
- (b) Validation number;
- (c) Date and time paid;
- (d) Amount; and
- (e) Cashier/change booth identifier.

(6) Any adjustment made to any ticket or voucher shall require two approval signatures, of which at least one of the signatures shall be by a supervisor, and all changes shall be contained in a log indicating:

- (a) The names and occupational license numbers of the employees of the slot machine licensee who approved the adjustment;
- (b) What adjustment was made to the ticket or voucher;
- (c) When the adjustment was made;
- (d) The item value before and after the change; and
- (e) The reason the adjustment was made.

(7) Any device that holds ticket information in its memory shall not allow the removal of that information unless it has first transferred that information to the database of the facility based monitoring system.

(8) Provisions shall be made in the slot machine licensee's internal controls for an alternate method to pay credits in the event of the loss of communication with the ticket validation system.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History--New 7-30-06, Amended _____.

61D-14.041 Randomness Requirements and Game Play Auditing.

(1) Each slot machine shall use a random number generator (RNG) located within the licensed slot machine licensee's facility. The RNG shall:

- (a) Be statistically independent from any other device;
- (b) Conform to the random distribution values specified in the slot machine's PAR sheet;
- (c) Pass statistical tests such as the chi-squared test or random distribution analysis test;
- (d) Cycle continuously in the background between games and during game play;
- (e) Randomly determine the first seed number;
- (f) Use a method of re-scaling that permits all numbers within the lower range to be equally probable if a function of a slot machine requires a random number to be generated with a smaller range than that provided by the slot machine's RNG; and
- (g) Re-scale values using a method such as discarding that random number and selecting the next in sequence if a particular random number selected is outside the range of equal distribution of re-scaling values.

(2) A slot machine shall use communication protocols to protect the RNG and random selection process from influence by associated equipment.

(3) Each possible permutation or combination of game elements that produces a winning or losing game outcome shall be available for random selection at the initiation of each play.

(4) The independent licensed testing laboratory shall include a copy of each of the certifications required under this rule as part of the formal approval documentation certifying the machine and/or game for play in Florida to the division.

(5) Any misstatements, omissions or errors in the required certification provided by either the independent licensed testing laboratory or the manufacturer and/or distributor is a violation of rules governing slot machine gaming.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (e), (g) FS. History--New 7-5-06, Amended 6-21-10, 9-26-13, _____.

61D-14.042 Accounting and Occurrence Meter Specifications.

(1) There shall be a minimum of two (2) meters contained in each slot machine. One meter shall measure total credits into the slot machine. The other meter shall measure total credits out of the slot machine.

(2) The required electronic accounting meters are as follows:

(a) The amounts wagered or cash in meter shall cumulatively count the total amounts wagered during game play, except credits that are won during the game that are subsequently risked in a double-up mode;

(b) The number reflecting the amounts won or the award reflected on the credit out meter shall cumulatively count all amounts the player has won at the end of the game that were not paid by an attendant, including amounts paid by a ticket printer. The credit out meter shall not increment for bills inserted and cashed out to allow the slot machine to be used as a change machine. In those cases where amounts awarded are included on separate meters, the metering requirements for the credit out meter can be met by summing the number reflected on the credit out and machine paid external bonus payout meter;

(c) The drop meter shall maintain a cumulative count of the credit value of all bills and tickets inserted into the bill acceptor processed for play;

(d) The handpays meter shall reflect the cumulative amounts paid by an attendant;

(e) The cancelled credit meter shall reflect the cumulative amounts paid by an attendant that are in excess of the credit limit and residual credits that are collected; and

(f) Printer games do not require a cancelled credit meter unless a “printer limit” option exists on the game.

(3) The required electronic occurrence meters are as follows:

(a) The games-played meter shall display the cumulative number of games played since the last RAM clear;

(b) A slot machine shall display the number of times the slot machine main door was opened since the last RAM clear; and

(c) The slot machine shall show the time of the most recent bill acceptor door opening since the last RAM clear.

(4) Each individual slot machine available for play shall have at least amount bet and amount won meters in either credits or dollars.

(5) For each type of slot machine that offers a double-up option, there shall be two meters to indicate the amount doubled and the amount won, which shall increment every time a double-up play occurs.

(6) All electronic meters required by this section, except those described in subsection (5), shall communicate their information to the facility based monitoring system.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g) FS. History—New 7-30-06, Amended 6-21-10, 7-14-11, 9-12-12.

61D-14.043 Transaction Log, Accountability of Bills/Tickets, Bill Acceptor Recall, and Number of Last Plays Required.

(1) All slot machines shall have the ability to display a complete transaction history for the most recent transactions with a cashless wagering system including at least the previous thirty-four (34) transactions prior to the most recent transaction that incremented any of the accounting meters.

(2) A slot machine shall maintain electronic metering to be able to report the following:

(a) Total monetary value of all bills, tickets, or vouchers accepted;

(b) Total number of all bills, tickets, or vouchers accepted; and

(c) A breakdown of the following items accepted by the bill acceptor:

1. For bills, the game shall report the number of bills accepted for each bill denomination; and

2. For all tickets or vouchers the game shall have a separate meter that reports the number of such items accepted.

(3) A slot machine shall retain in its memory and be capable of displaying the denomination of the last five (5) items referenced in paragraph (2)(c) accepted by the bill acceptor.

(4) Information on at least the last ten (10) games shall be retrievable by the operation of an external key-switch, or another secure method that is not available to the player. The slot machine shall provide all information required to fully reconstruct the last ten (10) plays. The information shall include:

- (a) The value of initial credits;
- (b) The value of credits bet;
- (c) The value of credits won;
- (d) The value of credits paid;
- (e) Each final game outcome including all player choices and bonus features; and
- (f) The results of double-up options.

(5) The last game recall shall reflect bonus rounds in their entirety. If a bonus round lasts a specific number of events, each with separate outcomes, each of the specific events shall be displayed with its corresponding outcome, if the outcome resulted in an award. The recall shall reflect events that are screen position dependent, if the outcome resulted in an award. There shall be a minimum of fifty (50) games recallable for slot machines that have the potential for infinite free games.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (g) FS. History—New 6-25-06.

61D-14.044 Identification of Program Storage Media, and Slot Machine Technical Requirements.

(1) All program storage media, both writable or non-writable, including EPROMs, Digital Versatile Disc (DVD), Compact Disk – Read Only Memory (CD-ROM), and any other type of program storage media shall:

- (a) Be marked with information to identify the software and revision level;
- (b) Only be accessible with access to the locked logic compartment; and
- (c) Have a method that shall require display of the program storage media identification information on the slot machine if the program is copied to and executed from Random Access Memory (RAM).

(2) Read Only Memory (ROM) program storage media shall not be re-writable and shall be finalized and closed to prevent further writing.

(3) For non-EPROM based media, the control program shall authenticate all files that are critical to the accurate operation of the slot machine (“critical files”) by employing a hashing algorithm which produces a “message digest” output of a minimum of 128 bits.

(4) For EPROM based media, the control program shall test for possible corruption. The control program may use a Checksum or a Cyclic Redundancy Check (CRC) minimum of 16-bit or equivalent for that test.

(5) The slot machine shall authenticate all critical files against the stored message digest(s), as required in subsection (3), above. In the event of a failed authentication after the slot machine has been powered up, the slot machine shall:

- (a) Immediately enter an error condition;
- (b) Illuminate its tower light when one is present; and
- (c) Cease operation.

(6) Slot machine authentication failure shall:

- (a) Require a supervisor’s authorization;
- (b) Be recorded in a machine error accounting log that shall:
 1. Be maintained in each slot machine under that slot machine’s serial number;
 2. Be maintained as a permanent record of program changes and error corrections for the specifically numbered slot machine;
 3. Include the details of each failed authentication and corrective action; and
 4. Include the date and time of a failure, and date and time of the corrective action.

(7) For writable program storage the following requirements apply to the programs residing in the slot machine that are capable of being erased and reprogrammed without being removed from the slot machine, bill changer, or other equipment or related devices:

(a) Re-writable program storage shall only be written to in cases where the media contains only data, files, and programs that are not critical to the basic operation of the game, such as marketing information.

(b) Notwithstanding the foregoing, such device may write to media containing critical data, files, and programs provided that the gaming equipment:

1. Properly maintains a log of all information added, deleted, and modified that is stored on the media;
 2. Maintains a control program that verifies the validity of all data, files, and programs which reside on the media using the methods listed in subsection (3), non-EPROM specific requirements;
 3. Contains appropriate security to prevent unauthorized modifications; and
 4. Prohibits game play while the media containing the critical data, files, and programs are in a modifiable state.
- (8) Slot machine component integrity checks shall:
- (a) Occur:
 1. The first time program files are loaded for use; and
 2. During the use of components critical to the slot machine's operation.
 - (b) Not occur:
 1. For RAM; and
 2. Program storage device space that is not critical to the slot machine security.
- (9) Critical files shall be authenticated during each slot machine start-up and restart.
- (10) The authentication methodology shall detect 99.99 percent of all possible failures. All critical memory shall:
- (a) Have the ability to retain data for a minimum of thirty (30) days after power is removed from the slot machine. If a rechargeable battery is used, the battery used to retain power shall recharge itself to its full potential in a maximum of twenty-four (24) hours. The shelf life of the battery used shall be at least five (5) years;
 - (b) Be cleared only in accordance with the RAM clear procedures prescribed within the slot machine licensee's internal controls which shall include:
 1. Completion of all data required in Form DBPR PMW-3480, Slot Machine Activity, effective 9-26-13, adopted herein by reference, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03161>, which can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~;
 2. Notification to surveillance to record the RAM clear procedure in its entirety, which surveillance shall include information in a daily log consisting of the date, time, machine location, asset numbers, and licensed employee name(s) who are performing the RAM clear;
 3. Insertion of an electronic access identification card assigned to the slot licensed employee performing the RAM clear procedures; and
 4. Submission of completed Form DBPR PMW-3480, adopted by reference in sub-paragraph 1. above, and FBMS printout showing the time and date of each RAM clear performed no later than 12:00 noon on the first business day following all RAM clear procedures performed.
 - (c) Provide a RAM error message, if the control program detects an unrecoverable memory error; and
 - (d) Not be cleared automatically, but shall require a full RAM clear that is performed by a slot machine technician the facility has determined to be qualified to perform the task.
- (11) A RAM clear shall only be authorized for the following:
- (a) A slot machine malfunction that results in an unrecoverable memory error;
 - (b) An EPROM chip failure;
 - (c) A modification to the slot machine's program; and
 - (d) Troubleshooting the system for possible RAM failure.
- (12) Following the initiation of a RAM clear procedure, the slot machine's control program shall execute a routine that initializes all data in RAM to the default state, except those portions of RAM that are critical to the operation of the slot machine. The default reel position or game display after a RAM clear shall not indicate the top award on any selectable line. The default game display, upon entering game play mode, shall also not display the top award.
- (13) Slot machines shall be capable of detecting and displaying error conditions and illuminating the tower light for each slot machine in those cases where such a light is available. Upon detection of error conditions, a slot machine shall disable play, and the slot machine and/or the facility based monitoring system (FBMS) shall maintain an internal record if the error is for:

- (a) Sustained loss of communication with the FBMS;
 - (b) Low RAM battery, for batteries external to the RAM itself, or low power source;
 - (c) Currency-in jam;
 - (d) Program error or authentication mismatch;
 - (e) Door open, including bill acceptor;
 - (f) Reel spin errors:
 1. The specific reel number shall be identified in the error code;
 2. The final positioning of the reel, if the final indexed position error exceeds one-half of the width of the smallest symbol on the reel strip; and
 3. Malfunctions such as a reel which is jammed, or is not spinning freely, or any attempt to manipulate their final resting position;
 - (g) Power reset;
 - (h) Out-of-paper;
 - (i) Printer jam;
 - (j) Printer failure; and
 - (k) Printer disconnected.
- (14) The slot machine licensee shall:
- (a) Establish procedures within its internal controls to ensure that:
 1. The FBMS shall alert the FBMS supervisor when communication has been lost between a slot machine and the FBMS.
 2. If communication to a slot machine is lost:
 - a. The FBMS supervisor is responsible for monitoring the play of the slot machine with which communication has been lost;
 - b. Within 90 minutes of the loss of communication:
 - (I) The facility shall restore communication between the slot machine and the FBMS; or
 - (II) The FBMS supervisor shall terminate play on each slot machine with which communication has not been restored no later than 90 minutes from the time communication was originally lost.
 - (b) Maintain either a manual or FBMS record of all communication failures, which contains the date and time of the communication failure and resolution of that failure.
- (15) A slot machine that has authentication or RAM or ROM errors shall:
- (a) Cease operation;
 - (b) Automatically set to the disabled mode of operation; and
 - (c) Automatically light its tower or similar light, if the machine has such.
- (16) A description of slot machine error codes and their meanings shall be affixed inside the slot machine. However, this subsection does not apply to video-based games that shall display text messages for error conditions on the game console.
- (17) The software shall be able to recover to the state it was in immediately prior to the occurrence of a program interruption. Communications to an external device shall not begin until the program resumption routine is completed, and:
- (a) Upon restoration of power to the slot machine:
 1. The previous error message shall be displayed and the slot machine shall remain locked-up if a slot machine is powered down while in an error condition; or
 2. The previous error message shall not be displayed if:
 - a. The power down is used as part of the error reset procedure; or
 - b. Upon power up or door closure, the slot machine checks for the error condition and detects that the error condition no longer exists.
 - (b) Upon resumption of the slot machine's control program, the following procedures shall be performed:
 1. Slot machine control programs shall test themselves for possible corruption due to failure of the program storage media; and

2. Mechanical displays shall re-spin automatically to display the last valid game's result when the play mode is re-entered, and the reel positions have been altered.

(18) The slot machine's main door shall affect game play in the following ways:

(a) When the slot machine's main door is opened, the slot machine shall:

1. Cease further game play;
2. Enter an error condition;
3. Display an error message;
4. Disable bill acceptance; and
5. Illuminate the tower light when one is available.

(b) When the slot machine's main door is closed, the slot machine shall:

1. Return to its original state in the game; and
2. Display an error message, until the next game has ended.

(c) The software shall detect any access to the following doors or secure areas:

1. External doors;
2. Drop box door; and
3. Bill acceptor door.

(19) Each slot machine and/or bill acceptor shall detect and display an error condition and the bill acceptor shall be disabled for the following conditions:

- (a) Bill stacker full;
- (b) Bill jams;
- (c) Bill acceptor door open; and
- (d) Bill stacker door open or bill stacker removed.

Rulemaking Authority 550.0251(2), 551.103(1), 551.122 FS. Law Implemented 550.0251(2), 551.103(1)(c), (d), (e), (f), (g) FS. History—New 8-13-06, Amended 6-21-10, 9-26-13.

61D-14.046 Facility Based Monitoring System Functionality.

A facility based monitoring system shall provide for the following security and audit requirements:

(1) A program that enables on-line searching of the event log for the present storage cycle and for the previous 30 days through archived data or restoration from backup memory devices. The program shall have the ability to perform a search based on the following:

- (a) Date and time range;
- (b) Unique hardware components that interface with the facility based monitoring system; and
- (c) Event number or identifier.

(2) A master "slot file" that is an operating database for every slot machine in operation and includes the following information:

- (a) Unique interface element or location identification number;
- (b) Asset number;
- (c) The lowest value of a wager that can be placed on the slot machine;
- (d) Theoretical payout percentage of the slot machine; and
- (e) Control program identification numbers within the slot machine.

(3) A database that maintains events generated by a slot machine including the following:

- (a) Date and time which the event occurred;
- (b) Identity of the slot machine that generated the event; and
- (c) A unique number/code that defines the event.

(4) Password access or logon. There shall be a provision for system administrator notification and user lockout or audit trail entry after no more than five (5) unsuccessful login attempts; and

(5) Prohibit alteration of any log information communicated from the slot machine.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (i), 551.104(4)(f) FS. History—New 6-25-06, Amended.

61D-14.047 Facility Based Monitoring System and Computer Diagnostics.

(1) The facility based monitoring system's slot machine communication protocol shall have the ability to immediately act upon commands received from the facility based monitoring system (FBMS), which provide:

- (a) The ability to suspend play on a slot machine;
- (b) Daily reports of events; and
- (c) Reports providing:
 - 1. All accounting data contained in the FBMS;
 - 2. Information on individual events and transactions contained in the FBMS; and
 - 3. The history of a specific slot machine transaction contained in the FBMS.

(2) The FBMS shall:

- (a) Capture all information required for tickets enumerated in subsection 61D-14.040(2), F.A.C.;
- (b) Not permit a configuration setting change that causes an obstruction or interruption to the electronic accounting meters, affect the integrity of the slot machine, or communications without a RAM clear as provided in subsection 61D-14.044(11), F.A.C.

(3) For the purposes of this rule, an interface element is any system component external to the operation of a slot machine that assists in the collection and processing of data sent to the FBMS, such as a slot machine interface board (SMIB). All interface elements shall:

- (a) Be installed in a locked compartment in the machine or system;
- (b) Maintain separate electronic meters that shall allow for review on demand at the interface element level;
- (c) Retain the required information after a power loss for at least 72 hours;
- (d) Provide a means to preserve all meter information required by Rule 61D-14.042, F.A.C., and event information required by Rule 61D-14.046, F.A.C., until it is communicated to the FBMS; and
- (e) Allow for the association of a slot machine asset number used in conjunction with a slot machine file on the FBMS. The slot machine asset number shall be used by the FBMS to:
 - 1. Track all information regarding an individual slot machine; and
 - 2. Identify only one slot machine in the FBMS.

(4) An interface element that serves as a data collector for the FBMS shall:

- (a) Provide an error detection and correction scheme to ensure an accuracy of 99 percent or better of messages received; and
 - (b) Secure all accounting data communications in accordance with the facility's internal controls.
- (5) Each system critical to the operation of the slot machine's interface element and the FBMS shall be tested to verify that it performs within its manufactured design specifications. Each system shall be tested:

- (a) Under controlled laboratory conditions prior to installation at a slot machine licensed facility; and
- (b) At the installation site (a slot machine licensed facility) upon the initial installation of the system to ensure proper configuration of the equipment and installation of the security applications.

(6) The FBMS shall maintain an internal master clock that reflects time in 24-hour format and data that shall be used to provide:

- (a) Time stamp of events;
- (b) Reference clock for reporting; and
- (c) Updated clocks in the system servers, networked systems, or distributed systems.

(7) The FBMS shall create an audit log for any alterations of any accounting or event log information. The audit log must include at least:

- (a) The name of the data element altered;
- (b) The value of the data element:
 - 1. Prior to data alteration; and
 - 2. After data alteration.
 - a. The time and date of alteration for each data element alteration event; and
 - b. The identification of the individual who performed the alteration.

(8) The FBMS shall provide:

- (a) Redundant copies of each log file or system database or both; and
- (b) Open support for backups and restoration of each log file or system database.

(9) The data contained in the FBMS shall be backed-up daily on removable computer storage media. The back-up data records shall be sufficient to reconstruct the entire day's activity.

(a) In addition to the requirements of Rule 61D-14.080, F.A.C., a readily accessible copy of the back-up data records shall be stored for a minimum of 120 days secured in an industry standard two-hour fire and water resistant storage device either on- or off-site.

(b) The slot machine licensee shall provide the contact information, address, and telephone number of each off-site storage location to the division when:

- 1. The off-site location is first used for storage; and
- 2. Each time a new off-site location is used or an off-site location is changed.

(c) Off-site storage contact information should be sent to the Office of Slot Operations, Division of Pari-Mutuel Wagering, North Broward Regional Service Center, 1400 West Commercial Boulevard, Suite 165, Ft. Lauderdale, Florida 33309-3787.

(10) The FBMS shall only be reloaded using data contained in the most recent complete back-up data records that contains at least:

- (a) An events log;
- (b) All accounting information;
- (c) All auditing information; and
- (d) Specific site information such as device file or employee file.

(11) The FBMS shall:

- (a) Implement self-monitoring for all interface elements;
- (b) Keep a log of all error conditions;
- (c) Monitor the operation of each slot machine in real-time;
- (d) Retrieve all financial accounting information for each slot machine on a daily basis;
- (e) Report all events in real-time; and

(f) Employ security systems, support measures, or networks to ensure that there is no alteration of any information as it is being communicated from a slot machine to the FBMS.

(g) No less than annually test data recovery and reload procedures, and report such results to the division.

(12) A slot machine or progressive slot machine shall not be enabled to play following the receipt of any error listed in subsection 61D-14.044(13), F.A.C., until the control program is authenticated.

(13) The FBMS shall collect and store the following information from each slot machine:

- (a) Total credits-in;
- (b) Total credits-out;
- (c) Total value of all bills, tickets, and vouchers collected by the slot machine;
- (d) Total value of all handpays;
- (e) Cancelled unpaid credits;
- (f) Total monetary value of all bills accepted;
- (g) Total number of each type of bill accepted by denomination;
- (h) Games played;
- (i) Cabinet door openings;
- (j) Drop door openings;
- (k) Total monetary value of all tickets accepted; and
- (l) Total monetary value of all tickets produced.

(14) The FBMS shall recognize an electronic identification card which card shall:

- (a) Only be issued to specifically designated licensed employees;
- (b) Be inserted into the slot machine prior to the opening of a slot machine door; and
- (c) Only be inserted after surveillance has been notified of and approves the opening.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(e), (g), (i), 551.104(4)(f) FS. History—

61D-14.048 Facility Based Monitoring System Required Reports.

(1) Reports shall be generated on daily, weekly, monthly, and yearly periods. A life to date report shall also be generated yearly from stored database information. These reports at minimum shall consist of the following:

- (a) Net win/revenue report for each slot machine;
- (b) Comparison reports for bills, tickets or vouchers accepted by the slot machine with dollar value totals for each type;
- (c) Metered vs. actual jackpot comparison report with the dollar value totals for each;
- (d) Statistical payout percentage vs. actual payout percentage comparison with variances; and
- (e) Event log of errors referenced in subsection 61D-14.044(11), F.A.C., and hand-paid jackpots for each slot machine.

(2) A facility based monitoring system shall capture and record every handpay message from each slot machine and meet the following requirements:

(a) Handpay messages shall be created for single wins and accumulated credit cash outs, which result in handpays;

(b) For every single win event that is equal to or greater than the tax reporting threshold, which has been established pursuant to 26 Code of Federal Regulations, Section 7.6041-1 as \$1,200, the facility based monitoring system shall send a message advising of the need for Internal Revenue Service forms W2G or 1042-S, which is to be processed, either via the facility based monitoring system or manually. This option shall not be overridden;

(c) An original jackpot slip shall not be voided without the written authorization of a supervisor; and

(d) The following information shall be required for all slips generated by the facility based monitoring system:

- 1. Type of slip;
- 2. Numeric slip identifier that increments per event;
- 3. Date and time;
- 4. Slot machine asset number;
- 5. The lowest value wager that can be made on the game;
- 6. Amount of jackpot, accumulated credit, and additional pay;
- 7. A \$1,200 payout message referenced in paragraph (b);
- 8. Additional payout;
- 9. Total before taxes and taxes withheld; and
- 10. Amount paid to the patron.

(3) The following reports shall be generated and reconciled with all validated/redeemed tickets:

(a) Ticket issuance report;

(b) Ticket redemption report;

(c) Ticket liability report for tickets that have been issued and not redeemed;

(d) Ticket drop variance report;

(e) Transaction detail report shall be available from the ticket validation system that shows all tickets generated by a slot machine and all tickets redeemed by a ticket validation terminal or other slot machines; and

(f) Cashier report that details individual tickets, the sum of the tickets paid by cashier/change booth or redemption terminal.

(4) The facility based monitoring system shall have the ability to produce the following financial and player reports:

(a) A liability report that shall include previous days starting value of outstanding cashless liability, aggregate cashless-in and out totals, and ending value cashless liability;

(b) Cashless meter reconciliation summary and detail reports that shall reconcile each participating slot machine's cashless meter(s) against the facility based monitoring system's records of cashless activity; and

(c) Cashier summary and detail reports that shall include player electronic buy-ins and cash-out, amount of transaction, date and time of transaction.

(5) Nothing in this section shall be interpreted to limit the ability of the division to request reports from the facility based monitoring system as authorized by Chapter 551, F.S., and Chapter 61D-14, F.A.C.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (i), 551.104(4)(f), 551.121(5) FS. History—New 6-25-06, Amended 8-14-11.

61D-14.050 Floor Plan.

(1) No slot machine licensee shall operate any slot machine unless it has submitted a floor plan of the slot machine gaming area to the division, and the division ~~has and FDLE have~~ approved the floor plan pursuant to the requirements of this section.

(2) The floor plan shall be based on a scale of one quarter inch equals one foot and demonstrates the placement or location of the following:

(a) Each slot machine with its corresponding location number;

(b) Security cameras or any other surveillance equipment;

(c) Count rooms and cages;

(d) The exact location of the designated slot machine gaming areas of the applicant's facility. Any designated slot machine gaming area shall be separated by a physical barrier with controlled entry and exit points where the slot machine licensee shall check identifications to ensure no persons under twenty-one (21) years of age are allowed access to the designated slot machine gaming area;

(e) The security surveillance system monitoring room;

(f) The office space provided for use by the division ~~and FDLE~~ as required by Rule 61D-14.018, F.A.C.;

(g) At least one armored car bay which is capable of accommodating of loading and unloading an armored car while enclosed within the armored car bay; and

(h) All man traps contained within the slot machine licensee's facility used to control access to restricted areas of the facility.

(3) The floor plan shall provide for clear lines of sight for the security surveillance system. There shall be no area in any part of the slot machine licensee's facility where slot machines are played or where money is collected, distributed, or counted which the security surveillance system shall be unable to monitor with the clarity required in Rule 61D-14.054, F.A.C.

(4) A slot machine licensee who proposes to make changes to the floor plan shall submit the proposed changes to the division for review. The division shall review the proposed changes ~~with FDLE~~ for compliance with the security standards set forth in these rules prior to approving the changes. Floor plan changes shall not be made without the approval of the division ~~and FDLE~~. The division shall notify the slot machine licensee ~~in no less than 30 days~~ of whether it approves the new floor plan. If the floor plan is a pre-approved slot machine tournament floor plan, the slot machine licensee can change the floor plan upon seven days notice to the division ~~and FDLE~~.

(5) A copy of the floor plan shall be maintained in the surveillance control room and the slot department office. A copy shall be provided to the division ~~and FDLE~~ for use in the secure monitoring room.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(i), 551.104(4)(h), 551.114(5) FS. History—New 6-25-06, Amended _____.

61D-14.051 Security Plan.

(1) A security plan detailing internal controls for compliance with Rules 61D-14.050 through 61D-14.056, F.A.C., shall be submitted for approval with a license application. The security plan shall include a floor plan referenced in Rule 61D-14.050, F.A.C., and a description of the surveillance system and equipment utilized to comply with Rule 61D-14.054, F.A.C. The security plan shall include a description of the layout of the surveillance room and the configuration of the monitoring equipment as placed throughout the pari-mutuel wagering facility.

(2) The security plan shall include descriptions of all equipment used by the surveillance system, a diagram that shows all of the areas to be monitored and the placement of surveillance equipment in relation to the activities being observed and a description of the procedures used in the operation of the surveillance system.

(3) Any change to the security plan shall be submitted to the division ~~and FDLE~~ for approval pursuant to the

requirements of Rules 61D-14.050 through 61D-14.056, F.A.C., prior to implementation.

(4) A security plan shall include a system of internal controls, which shall include the following:

(a) A description by position of each security officer or employee, to include their duties, assignments and responsibilities;

(b) The minimum number of security employees to be staffed by shift;

(c) Procedures for handling incidents requiring the assignment of a security officer or employee;

(d) Plans to provide for segregated access to the surveillance room and procedures to prevent disclosure of the identity of surveillance employees to other employees and patrons;

(e) Radio protocol and a description of authorized radio codes to be used;

(f) Training requirements and procedures for employees and officers of the slot machine licensee;

(g) A contingency plan for natural disasters, such as a hurricane, which would require a complete shut down of the facility;

(h) A contingency plan including the use of alarms or alerts for incidents of violent crime that shall include, but not be limited to robbery, armed robbery, or an incident involving a hostage situation. The contingency plan shall provide for no less than quarterly drills with all employees working in an area where buttons or triggers for alarms are located to ensure the employees know where all alarm or alert buttons or triggers are located and how to use them;

(i) A contingency plan for fire preparation including, but not limited to evacuation plans;

(j) A contingency plan for bomb or terrorist threats; and

(k) A plan to provide for an security escort by a licensed employee of the slot machine licensee and/or surveillance of access to the gaming areas by either non-gaming employees of the slot machine licensee or employees of non-gaming businesses who might require incidental access to slot machine gaming areas. A list of such employees shall be pre-approved by the slot machine licensee. The slot machine licensee shall maintain a record of the employee's name, job title, driver's license number, date of birth, home address, and name of the employer.

(5) The security plan shall include procedures for quarterly testing of all security alarms or security alerts required by rules regulating the slot machine licensee's operations in the slot machine licensee's facility.

(6) The security plan shall detail the slot machine licensee's procedure for clearing the designated slot machine gaming areas prior to non-gaming hours.

(7) Every slot machine licensee shall have a contingency power source in the event of a power outage that shall be sufficient to maintain the security and surveillance of all slot machine gaming related areas.

(8) In the event any security alarm or alert is activated for any reason other than a drill or test, a written report outlining the cause of the alarm or alert's activation shall be submitted to the division within 24 hours of such event. ~~activity in the area covered by the security plan for that alarm or alert shall not be resumed until clearance has been obtained from FDLE.~~

(9) The personnel of the Security Department shall be prohibited from carrying firearms.

(10) The slot machine licensee shall notify the division ~~and FDLE~~ of any event which requires additional staffing.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(i), 551.104(4)(h) FS. History—New 6-25-06, Amended _____.

61D-14.052 Electronic Identification and Access Control System.

(1) A slot machine licensee shall utilize an electronic identification and access control system for its employees and employees of its vendors that shall be used to open doors to controlled areas of the slot machine licensee's facility. The electronic identification and access control system shall:

(a) Provide a clear color photograph identification card or badge for all employees of the slot machine licensee or employees of its vendors;

(b) The identification card shall be color coded or provide an alpha or numeric symbol to indicate which areas of the slot machine licensee's facility the employee is authorized to enter; and

(c) The photograph and color code or symbol required by these rules shall be unique to the slot machine licensee's facility and shall be of sufficient size and clarity to allow the surveillance system to observe the photograph and identify the employee to confirm his or her authorized access to the area under surveillance.

(2) The electronic identification and access control system shall be capable of immediately creating an event log of doors opened by use of the identification card or badge upon the request of the security or surveillance departments, and the division ~~or FDLE~~. The system shall:

(a) Be able to display a photograph of the employee opening any door; and

(b) Cause an alarm to alert the security and surveillance departments, and the division, ~~and FDLE~~ if a door is opened:

1. Without the use of an identification card; or

2. With an identification card that is not programmed to open the door.

(3) The division ~~and FDLE~~ shall be provided access to any data contained in the electronic identification and access control system.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(g), (i), 551.104(4)(h) FS. History—New 6-25-06, Amended _____.

61D-14.053 Key Controls.

(1) Each slot machine licensee shall develop and utilize a lock and key control system that limits or restricts access to secure compartments and areas as identified in the slot licensee's internal control procedure. Locks and keys shall be received by the slot machine licensee's security department and installed by a master locksmith or similarly qualified employee of the slot machine licensee.

(2) Notwithstanding the requirements of Rule 61D-14.052, F.A.C., the internal controls procedure of the slot machine licensee shall identify persons authorized by the slot machine licensee to possess keys providing access to the following compartments or areas:

(a) Slot cash storage boxes;

(b) Trolleys to transport slot cash storage boxes;

(c) Count rooms;

(d) Areas in which slot cash storage boxes are located;

(e) Compartments housing microprocessors in any slot machine; and

(f) Containers holding the master key for each slot machine Central Processing Unit (CPU).

(3) Each process outlined in the internal control procedure shall describe the method by which secure keys are accessed and the documentation requirements in subsection (4) below.

(4) Each slot machine licensee shall implement a log system. The log system shall document access to any secure key that the security department controls and shall include the following information:

(a) The pre-designated key number;

(b) The date and time the key was signed out from the security department;

(c) The name and occupational license number of the employee signing out the key;

(d) The name and designated slot licensee number of the security person escorting the employee with the key to the secure area as a second signature signing out the key;

(e) The name and designated slot licensee number of the security person issuing the key;

(f) The name and designated slot licensee number of the employee and security person, providing the escort, returning the key; and

(g) The date and time the key was returned to the security department.

(5) Each slot machine licensee shall implement measures in their internal control procedures for:

(a) Addressing missing, lost, and stolen keys;

(b) Issuing replacement keys; and

(c) Destruction of keys.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(b), (e), (g), (i), 551.104(4)(h) FS. History—New 6-25-06, Amended 6-21-10.

61D-14.054 Surveillance Equipment.

(1) Each slot machine licensee shall install, maintain and continuously operate an on-site closed circuit television surveillance system (surveillance system) at the facility.

(2) The surveillance system shall meet the following requirements:

(a) The surveillance system shall employ digital electronic technology with the acuity and clarity that is no less than that provided by magnetic tape systems. To insure that all movements are discernible upon review of recorded activity, the digital equipment shall record to a quality of 4 Common Intermediate Format and shall be capable of observing and recording at no less than 30 frames per second;

(b) The system shall utilize 30 frames per second in light sensitive color cameras with pan, zoom, and tilt capabilities that can be placed behind domes or one-way mirrors that conceal the cameras from view and permit clear, unobstructed views with sufficient video monitors to simultaneously cover the following various vantage points:

1. Patrons, spectators, slot machine employees with an assigned work station and other persons in the slot machine gaming area with sufficient clarity to permit identification of such person;

2. The movement of cash, tickets or vouchers used for play, drop boxes, drop buckets, tip boxes and other gaming equipment within the slot machine licensee's facility;

3. All areas and activities occurring within the count rooms, with audio-capability in those rooms, during any occupancy of those rooms;

4. All slot change booths, with sufficient clarity to permit identification of all transactions, cash and paperwork conducted therein;

5. Each slot machine with sufficient clarity as to determine the display of the screen of the slot machine, the denomination of any bill, voucher or ticket used in the slot machine or any information printed on a player card inserted into a slot machine and the identification numbers affixed to each machine; and

6. All areas where slot machines are repaired;

(c) The system may utilize less than 30 frames per second, but no less than 15 frames per second in light sensitive color cameras with pan, zoom, tilt capabilities and/or fixed cameras that can be placed behind domes or one-way mirrors that conceal the cameras from view and permit clear, unobstructed views with sufficient video monitors to simultaneously cover the areas not listed above in paragraph (b) to specifically include the following:

1. All entrance and exit doors to the slot machine licensee's facility including the armored car bay, and any man trap located in the facility; and

2. All parking areas owned by the slot machine licensee with sufficient lighting in those areas to provide for clear viewing and recording;

(d) Video-printers that possess the capability to generate instantaneously upon command, a clear, still copy of the image depicted on the video recording using a minimum of four colors at 720 x 480 dots per inch on photo quality paper;

(e) All images and audio shall be digitally recorded and stored on a system with backup and retrieval capabilities including a duplication system to allow for the play-back of suspected illegal activity while the master tape continues to record activities on the designated slot machine gaming area. Recording systems shall be locked by the manufacturer to disable the erase and reformat functions and to prevent access to the system data files. The system shall provide uninterrupted recording while the playback or copy function is used. If the slot machine licensee chooses to use a network for the digital recording equipment, it shall be a closed network with limited access. The slot machine licensee shall provide the division and FDLE with the necessary software and hardware to review a downloaded recording;

(f) The system shall have a failure notification system that provides an audible alarm, as well as a visual alert of any failure in the surveillance system or the media storage system. The alarm and alert system shall advise the division ~~and FDLE~~ as well as the facility surveillance department of the failure;

(g) The system shall have a media storage system that is configured so that a failure of any single component shall not result in the loss of any data from the media storage system;

(h) All digital video disks or other storage media produced from the surveillance system shall contain the data

with the time and date it was recorded superimposed by the media player to provide images with a video verification encryption code;

(i) A video verification encryption code, shall be submitted to the division ~~and FDLE~~, before the inspection and approval of the system;

(j) Any slot machine that makes plays with credits equal to twenty-five dollars (\$25) or more shall be covered by a dedicated surveillance camera and recorder. Such a slot machine shall not be played without the surveillance coverage required by this subsection; and

(k) A slot machine licensee's surveillance system shall not have more than eight cameras required in the first stage of concentration, unless the licensee has a fault tolerant or redundant system so there is no loss of data in the event of a failure of a single first stage of concentration.

(3) Access, or the ability to access, a surveillance system from any location outside of the surveillance room, shall be disclosed in a quarterly report filed with the division ~~and FDLE~~ which sets forth the location and to whom access is being provided, other than surveillance personnel, and certifies that the transmission is encrypted, firewalled on both ends and password protected. The password protection shall contain alpha and numeric characteristics with a minimum of six characters and be changed to a previously unused password when the employment of any employee of the surveillance department is terminated or transferred.

(4) Access to the surveillance system, surveillance system plan, and any related information, shall be limited to surveillance employees, the division, and FDLE.

(5) The division and FDLE shall have access to all security cameras or other surveillance equipment. The surveillance system shall be configured so that the division and FDLE are able to direct the surveillance of a particular area or person on the grounds of the slot machine licensee.

(6) Employees of the slot machine licensee, when assigned to monitoring duties in the surveillance room, shall have no other gaming related duties. No surveillance department employee shall transfer from the surveillance department to another department of the slot machine licensee in which he or she is employed, unless the employee is being transferred or promoted into a position that requires knowledge of the surveillance system and procedures or until one year has passed since the surveillance department employee worked in the surveillance department.

(7) The interior of the surveillance room shall not be visible or accessible to the public.

(8) The division or FDLE shall have immediate access to the surveillance room and other surveillance areas. The division and FDLE shall be provided, upon request, copies of digital recorded media of activities as well as copies of any images produced on a video printer.

(9) The surveillance room shall be maintained at all times by a sufficient number of approved surveillance operators as reflected in the surveillance plan approved by the division. The division, ~~after consultation with FDLE~~, shall require additional surveillance personnel should it be determined that an inadequacy of surveillance monitoring exists.

(10) Before implementing any changes to a surveillance system, the slot machine licensee shall submit the proposed changes to the division ~~and FDLE~~ for approval.

(11) A slot machine licensee shall notify the division ~~and FDLE~~ immediately of any failure of the surveillance system to continuously monitor the eligible facility or to otherwise operate properly. Play of slot machines in any area for which there is inadequate monitoring shall be suspended until the surveillance system is restored.

(12) The surveillance room shall be staffed for monitoring 24 hours a day by at least one surveillance department employee who is trained in the use of the equipment, has knowledge of slot machine operations, and the slot machine licensee's approved internal control procedures for security and surveillance.

(13) The slot machine licensee shall be responsible to ensure that any malfunction of surveillance equipment shall be immediately repaired or replaced with a working unit. If immediate replacement is not possible, alternative live monitoring shall be provided by the slot machine licensee personnel; otherwise, gaming in the unmonitored area(s) of the eligible facility shall immediately cease.

(14) Failure of any storage system for video or audio recordings shall be repaired or the storage system replaced within 8 hours of the failure. The surveillance system shall provide back-up for video or audio recording during the repair and replacement time. If after 8 hours, activity in the affected area cannot be recorded, the slot machines in

that area shall be closed for play until recording is restored. A log of all malfunctions of the surveillance and recording equipment shall be kept and such malfunctions shall be reported to the division ~~and FDLE~~ each day.

(15) All surveillance monitoring equipment shall be located in the surveillance room of a slot machine licensee and the surveillance department shall be responsible for its proper operation and maintenance.

(16) A slot machine licensee shall provide written notification to the division ~~and FDLE~~ prior to the video or audio format of any portion of their surveillance system being changed, setting forth what the change will be, when the change will occur, and how the change will affect their surveillance system as a whole.

(17) All equipment that is used to monitor and record activities within the designated gaming area(s) shall remain accessible solely to surveillance personnel except when such equipment is being repaired or replaced. All repairs shall take place in the presence of surveillance department personnel.

(18) Each slot machine licensee facility shall have at least one surveillance room to be used exclusively to monitor the activities within the slot machine licensee's facility. The interior of the surveillance room shall not be visible to the public and shall be continuously monitored and recorded.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(g), (i), 551.104(4)(h) FS. History—New 6-25-06; Amended _____.

61D-14.055 Storage and Retrieval of Surveillance Recordings.

(1) All surveillance recordings shall be in digital format and retained for at least thirty (30) days in areas referenced in paragraph 61D-14.054(2)(b), F.A.C., and seven (7) days for areas referenced in paragraph 61D-14.054(2)(c), F.A.C., unless provided otherwise in this section. Recordings shall be listed on a log by surveillance personnel with the date, times, and identification of the person monitoring or changing the recording medium in a recorder. Surveillance recordings shall be released to the division or FDLE upon demand.

(2) Any surveillance recording of illegal or suspected illegal activity or jackpot payment procedures, upon completion of the monitoring, shall be saved and stored separately and labeled in a manner with date, time and identity of surveillance personnel. The saved recordings shall be placed in a separate, secure area and written notification given to the division and FDLE.

(3) Video recordings of activities under subsection (2) shall not be destroyed without the written authorization of the division and FDLE.

(4) All surveillance recordings relating to the following shall be retained in a secure area and shall be listed on a log maintained by surveillance personnel:

- (a) All count room areas;
- (b) The vault area;
- (c) All credit and fill slip confirmation recordings; and
- (d) Any areas with cashiers or where the patrons cash tickets or vouchers.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (g), (i), 551.104(4)(h) FS. History—New 6-25-06.

61D-14.056 Security and Surveillance Logs.

(1) The slot machine licensee shall maintain a surveillance log(s) in the surveillance room containing the following information:

- (a) The names of all persons entering or exiting the surveillance room;
- (b) A summary, including the date and time each surveillance activity commenced and terminated;
- (c) Record of any equipment or camera malfunctions;
- (d) Description of the activity observed or performed for any and all unusual occurrences observed by a surveillance employee;
- (e) Any additional information as required by the division or FDLE after notification of a specific incident; and
- (f) All communications received by or sent from the surveillance room.

(2) A slot machine licensee shall maintain a security log of any and all unusual occurrences for which the assignment of a security department employee is made. Each incident shall be assigned a sequential number and an

entry made in the log(s) containing the following information:

- (a) The assignment number;
- (b) The date of the incident;
- (c) The time of the incident;
- (d) The location of the incident;
- (e) The nature of the incident;
- (f) The person(s) involved in the incident; and
- (g) The security department employee(s) assigned.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(g), (i), 551.104(4)(h) FS. History–New 7-30-06.

61D-14.058 Slot Machine Licensees System of Internal Controls.

(1) Each slot machine licensee shall develop and implement internal control procedures to ensure compliance with Chapter 551, F.S. and Chapter 61D-14, F.A.C.

(2) Each slot machine licensee shall submit to the division a written description of internal control procedures that incorporate administrative and accounting controls with its application before slot machine gaming commences.

(3) Each slot machine licensee's internal control procedures shall include the following:

(a) Administrative controls which include the procedures and records that detail authorization of transactions; and

(b) Accounting controls shall require that:

- 1. Transactions are executed in accordance with management's general authorization;
- 2. Transactions are recorded to permit preparation of financial statements in conformity with generally accepted accounting principles;
- 3. Access to assets is permitted only in accordance with management authorization; and
- 4. The recorded accountability for assets shall be compared with existing assets at set intervals and corrective action shall be taken with respect to any differences.

(4) Each submission of internal control procedures shall include a statement signed by the slot machine licensee's chief executive officer, chief operating officer, director of surveillance, director of security, director of slot machine operations, chief financial officer, and the applicant's chief legal officer or their equivalents that the submitted internal controls conform to the requirements of Chapter 551, F.S., and Chapter 61D-14, F.A.C.

(5) The division shall evaluate the internal control procedures of each applicant for a slot machine license pursuant to subsection (1) above based on the following criteria:

(a) Conformity to Chapter 551, F.S., and Chapter 61D-14, F.A.C.; and

(b) Evidence that the following standards are met:

- 1. An audit trail that permits the review of slot machine operations or the reconstruction of gross revenue transactions;
- 2. The segregation of functions as referenced in subsection 61D-14.015(4), F.A.C.; and
- 3. The inclusion of all forms or documents referenced in the submission or required by Chapter 551, F.S., and Chapter 61D-14, F.A.C.

(6) A current version of the internal controls of the slot machine licensee shall be maintained in the accounting, slot, and surveillance departments of the slot machine licensee. The slot machine licensee shall maintain copies of previous internal controls pursuant to the requirements of Rule 61D-14.080, F.A.C.

(7) The slot machine licensee's accounting internal controls shall include procedures for the establishment of a patron signature file if such a file is utilized by the slot machine licensee.

(8) Failure of the slot machine licensee to implement or comply with any internal control procedure required in Chapter 61D-14, F.A.C., is a violation of this section.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (g), (i) FS. History–New 6-25-06.

61D-14.059 Slot Machine Licensee Personnel.

(1) Each slot machine licensee shall maintain a level of staffing, supervision, and delineation of responsibilities of the organizational structure that ensures the proper operations as provided in the internal control procedures.

(2) The slot machine licensee's internal controls shall provide for a pre-employment screening process for each prospective employee, including the following:

(a) A completed employment application;

(b) Documentation that prospective employees for supervisory, managerial or surveillance positions have skills, training and experience for the position; and

(c) A reviewed credit report.

(3) The slot licensee shall maintain a personnel file for each employee that shall contain without limitation the following:

(a) The original employment application required by the slot licensee;

(b) The initial credit report and all subsequent credit reports that shall be obtained at least every 36 ~~24~~ months;

(c) A copy of all occupational licenses issued by the division during employment;

(d) A current detailed position description that includes access rights granted to the employee relating to secure areas, keys, or information;

(e) A chronological log of all positions held by the employee indicating the effective and termination date of each position;

(f) All performance evaluations conducted by the slot licensee;

(g) Documentation relating to performance issues such as promotions, demotions, reprimands, or separations;

(h) Signed drug-free workplace agreement based upon the licensee's established drug-testing program which shall include, at a minimum, the following elements:

1. A generalized list of substances for which licensees may be tested;

2. A timeline of when drug testing may occur; and

3. Disciplinary actions the slot machine licensee may take in the event of a positive test result.

(i) All federal and state income tax returns filed by the employee for the previous three ~~five~~ years, if the employee is identified in paragraph 61D-14.002(1)(e), F.A.C., or is required to hold a professional occupational license.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(g), (j) FS. History--New 6-25-06, Amended 9-26-13,_____.

61D-14.060 Business Entities, Internal Controls and Personnel Records.

(1) The slot machine licensee's internal controls shall provide for screening of business entities supplying slot machine gaming related equipment and services, which shall include out-sourced general employment services, to the slot machine licensee or its affiliates including the following:

(a) A reference check of the business entity from other gaming jurisdictions; and

(b) Ensure the business entity has obtained a current occupational license.

(2) The slot licensee shall maintain a file for each business referenced in subsection (1) above that shall contain the following:

(a) Documentation of the results of the reference check in subsection (1) above;

(b) A copy of the current business license issued by the division;

(c) A list of the business entity's employees who require an occupational license pursuant to Section 551.107(2)(a)3., F.S.; and

(d) A copy of each contract the slot machine licensee has entered into with the business entity.

(3) Any business entity holding an occupational license shall:

(a) Conduct pre-employment screening referenced in subsection 61D-14.059(2), F.A.C., for any employee that would be required to obtain an occupational license referenced in Rule 61D-14.005, F.A.C.;

(b) Maintain a copy of the business entity's internal controls; and

(c) The documentation required by this subsection shall be maintained in an office of the business entity located

in this state or with a registered agent of the business entity located in this state.

(4) Any business entity holding an occupational license shall maintain a file for each of its employees, in compliance with subsection 61D-14.059(3), F.A.C.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 8-6-06, Amended 9-26-13.

61D-14.061 Slot Cash Storage Boxes.

(1) Each slot cash storage box shall:

(a) Have a separate lock that shall only be opened by a key that is secured under the slot machine licensee's system of internal controls as provided in subsection 61D-14.053(2), F.A.C.;

(b) Have a device that prohibits access to the contents of the slot cash storage box, when it is removed from the machine; and

(c) Have an asset number that corresponds to the asset number of its assigned machine and is identifiable by the surveillance system referenced in Rule 61D-14.054, F.A.C.

(2) Emergency slot cash storage boxes that are used when the slot cash storage boxes of a specific machine are not available shall be maintained without asset numbers, provided:

(a) The word "emergency" is permanently imprinted, affixed or impressed thereon; and

(b) The emergency slot cash storage box is temporarily marked with the asset number of the machine to which it is assigned.

(3) Nothing in this rule shall be interpreted to prohibit the use of a bar code or similar device for tracking of slot cash storage boxes, so long as the requirements of this section are met.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 7-30-06.

61D-14.063 Count Rooms.

(1) The slot machine licensee shall have within its facility a count room used exclusively for counting of funds received from the wagering operations of pari-mutuels and slot machines. Counts conducted for slot machine operations shall be performed at separate times and independent of counts from pari-mutuel operations.

(2) The count room shall have:

(a) Metal doors equipped with:

1. Two separate locks, independent of one another and those of the slot cash storage boxes; and

2. An alarm device, which audibly and visibly signals the surveillance monitoring room and the security department whenever a door to the count room is opened;

(b) Tables constructed of clear lexan or similar material;

(c) Audio-video surveillance equipment as referenced in subparagraph 61D-14.054(2)(b)3., F.A.C.; and

~~(d) A fixed door type or hand held metal detector which shall be used in accordance with the facility internal control procedures to inspect all persons exiting the count room.~~

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 6-25-06, Amended 6-21-10,_____.

61D-14.065 Procedure for Slot Cash Storage Box Count.

(1) Each slot machine licensee shall include in its internal control procedures:

(a) A workflow diagram indicating all equipment used in the counting process;

(b) A description of all computer equipment used in the counting and recording process and other systems that communicate with computer equipment for purposes related to the counting of revenue;

(c) Procedures for controlling changes in software use in the counting and recording process, which provide for notification to the division at least 24 hours prior to the implementation of any proposed change; and

(d) Controls that prevent access to any count room information by anyone outside of the count room until the entire count process is concluded.

(2) Pre-count requirements in the internal controls shall include:

- (a) Notification to the surveillance department to make an audio-visual recording of the count process;
- (b) Procedures providing for a count team including a professional occupational licensee supervisor and at least two team members who shall also be present, with one team member being the count recorder;
- (c) All persons present in the count room during the counting process shall wear as outer garments, only a full-length, one-piece, pocket-less garment with openings only for the arms, feet, and neck;
- (d) No person present shall carry any items into the count room; and
- (e) Each person entering the count room ~~The count room supervisor~~ shall record, in writing their ~~the~~ name and license number. The count room supervisor shall record ~~of each member of the count team, as well as any entries and exits of the count room during the process by any persons.~~

(3) Count process requirements in the internal controls shall include:

- (a) Dual count and reconciliation;
- (b) Segregation of bills, tickets, or vouchers and resolving any discrepancies;
- (c) Handling of torn or mutilated bills, tickets, or vouchers;
- (d) Utilization of counting machines;
- (e) The contents of each slot cash storage box shall be emptied on the count table and counted separately;
- (f) The inside of the slot cash storage box shall be held up to the full view of a surveillance camera, after which the slot cash storage box shall be locked and placed in the storage area for slot cash storage boxes;
- (g) As the contents of each slot cash storage box are counted, a count team member shall record information regarding the details of the count to include:

- 1. The asset number of the machine to which the slot cash storage box contents correspond;
- 2. The value of each denomination of currency counted;
- 3. The total value of all denominations of currency counted;
- 4. A listing of each slot machine ticket or voucher counted by validation number and the value of each gaming ticket counted; and
- 5. The gaming date of the items being recorded and the total number of all slot cash storage boxes opened and counted.

(h) The doors to the count room shall be locked and remain locked except when the doors are opened as follows:

- 1. At the start or conclusion of a count team employee's shift;
- 2. To permit slot cash storage boxes to be secured in the count room;
- 3. To permit empty slot cash storage boxes or emergency slot cash storage boxes that were not part of the current count to be removed from the count room;
- 4. To allow a main bank cashier or cage supervisor to enter the count room to perform his or her job responsibilities;
- 5. In the event of an emergency;
- 6. To allow the count team to exit the room at the conclusion of the count; and
- 7. To allow for scheduled breaks that shall be taken by the entire count team;

(i) During the counting process, the count room supervisor shall notify the surveillance department whenever a count room door will be opened;

(j) The count team members shall not leave the count room until all money is counted, verified, sorted, and totaled into the computer and cash drop funds are transferred to the cash vault. If a count team member leaves the count room, all count team members shall secure all of the bills, tickets and vouchers in the count room, and notify security that the count team needs to leave the count room. ~~All count team members shall be screened by security before leaving the count room.~~ No count team member shall remain in the count room alone. The count team members shall not reenter the count room until all count team members are present;

(k) Any person leaving the count room prior to the completion of the entire count process, shall also record the time that he or she exited the count room, if the person exiting the count room is unable to sign the document due to an emergency, the count room supervisor shall record the person's name and time of exit and a notation describing

the emergency on the document;

(l) After preparation of the slot cash storage box report, the count team members performing the banking functions and the count room supervisor shall sign the reports attesting to the accuracy of the information recorded thereon as evidence of their participation in the counting of the slot cash storage boxes; and

(m) If a discrepancy in excess of \$500 occurs during verification of the count funds, it shall be brought to the immediate attention of the division ~~and FDLE~~ and a detailed written report explaining the problem and the corrective action taken shall be filed by the count room supervisor with the division within 48 hours of the conclusion of the count.

(4) Post-count requirements in the internal controls shall include:

(a) All bills, tickets and vouchers shall be presented in the count room to a main bank cashier or cage supervisor who, prior to having access to the information recorded on the slot cash storage box report and in the presence of a count team member, shall verify the bills, tickets and vouchers presented in accordance with the slot licensee's internal controls. The cashier or cage supervisor shall attest by signature for the custody of the bills, tickets, and vouchers;

(b) Once all signatures required by this section have been obtained, all tickets and vouchers have been removed from the slot cash storage boxes, and any other supporting documentation has been completed, those documents shall be transported directly to the accounting department and shall not be available to any cashier's cage personnel. The accounting department shall record the figures and calculate the total drop for that gaming day. All coupons shall be received and processed by the accounting department and reconciled with the facility based central monitoring system;

(c) A count room employee, in the presence of a count room supervisor or security personnel, shall conduct an inspection of the entire count room and all counting equipment located therein to verify that no bills, tickets, or vouchers remain in the room; and

(d) Cash from a previous count shall be locked and secured before another count can begin.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 6-25-06, Amended _____.

61D-14.067 Slot Cashier's Cage Booths and Change Machines.

(1) Each slot cashier shall operate with an individual imprest inventory. At the end of each shift, the slot cashier assigned to the outgoing shift shall record on a daily slot cashier's count sheet maintained by the slot machine licensee, the face value of each slot booth inventory item counted and the total opening and closing slot booth inventories and shall reconcile the total closing inventory with the total opening inventory.

(2) At the end of each gaming day, a copy of the daily slot cashiers' count sheets for that gaming day shall be forwarded to the accounting department.

(3) The slot cashier's cage booth inventory shall be used to supply change persons with an imprest inventory of bills, tickets or vouchers. The slot cashier's cage booth inventory shall also be used to provide a change person with bills, tickets, and vouchers in exchange for an equal amount of any combination of bills, tickets, or vouchers.

(4) The slot cashier's cage booth inventory shall be used to supply any mechanical, electrical or other device which operates independently of a slot machine and which, upon insertion of a ticket or voucher, dispenses an amount of currency equivalent to the face value of the ticket or voucher, and which immediately upon exchange cancels the ticket or voucher with an imprest inventory of slot tickets.

~~(5) A slot attendant shall not be permitted to function as a slot change person.~~

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 6-25-06, Amended _____.

61D-14.069 Accounting and Security Records.

(1) Each slot machine licensee shall maintain records of all transactions pertaining to the revenues and costs for its facility.

(2) General accounting records shall be on a double entry system of accounting with transactions recorded on the accrual basis that shall also be maintained as follows:

(a) The slot licensee shall maintain a uniform chart of accounts and accounting classification;

(b) The chart of accounts shall provide the classifications necessary to prepare standard financial statements; and

(c) The slot machine licensee shall not alter the account numbering system without prior written notification to the division.

(3) Supporting subsidiary records to be maintained by the slot machine licensee shall include:

(a) Records detailing all complimentary items or services provided as required by Rule 61D-14.021, F.A.C.;

(b) Records of all financial investments, advances, loans and receivable balances, due to the establishment; and

(c) Records related to investments in real property and equipment.

(4) Prior to commencement of slot machine activities, the slot machine licensee shall submit to the division the name and location, bank account number and routing information of a financial institution for collection and distribution of slot machine gaming revenue. The financial institution shall be a bank or trust company authorized to do business in Florida. The bank account shall be used exclusively for the deposit and distribution of slot machine gaming revenues that shall not be commingled with any other funds.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (g), (i) FS. History—New 6-25-06.

61D-14.072 Cashier's Cage, Satellite Cages, Vaults, and Accounting Controls.

(1) Each slot machine licensee shall have on or immediately adjacent to the designated slot machine gaming area a physical structure known as a cashier's cage ("the cage") to house the cashiers and to serve as the central location for the following:

(a) The custody of the cage inventory comprising currency including patrons' deposits, and of forms, documents, and records normally associated with the operation of a cage;

(b) The custody and exchange of currency, electronic cards, forms, documents and records normally generated or utilized by cashiers, change persons, and slot attendants;

(c) The responsibility for the overall reconciliation of all documentation generated by cashiers, slot cashiers, change persons, and slot attendants; and

(d) The receipt of currency, tickets or vouchers from the count room in conformity with this document.

(2) The cage shall be designed and constructed to provide security for the materials housed therein and the activities performed therein; such design and construction shall provide for the following:

(a) Fully enclosed except for openings through which materials such as cash, records, and documents can be passed to service the public and slot ~~cashier's cages~~ ~~booths~~;

(b) Manually triggered silent alarm systems for the cage, its ancillary office space and any related vault, which alarm systems shall be connected directly to the monitoring rooms of the surveillance system and the security department office;

(c) Double door entry and exit system that shall not permit a person to pass through the second door until the first door is securely locked. In addition:

1. The first door of the double door entry and exit system shall be controlled by the security department. The second door of the double door entry and exit system shall be controlled by the cashier's cage;

2. The system shall have surveillance camera coverage which shall be monitored by the surveillance department; and

3. Any entrance to the cage that is not a double door entry and exit system shall be an alarmed emergency exit door only; and

(d) Separate locks on each door of the double door entry and exit system, the keys to which shall be different

from each other.

(3) Satellite cages shall be designed and constructed in compliance with the provisions of subsection (2), except that satellite cages shall not be required to utilize a double door entry system as required by subparagraph (2)(c)1. Satellite cages shall have surveillance camera coverage and utilize a lockable door.

(4) Each vault shall include the following:

(a) A metal door with one key that shall be maintained and controlled by the cage. The slot machine licensee shall establish a sign-in and sign-out procedure for removal and replacement of the key or an electronic lock release that can be activated by vault personnel inside the vault;

(b) An alarm device that signals the surveillance department whenever the door to the vault is opened; and

(c) Surveillance cameras meeting the requirements in Rule 61D-14.054, F.A.C.

(5) Vaults shall be under the control of the accounting department. The storage or removal of currency from vaults shall be documented, and the amount of currency in each vault shall be reconciled daily.

(6) The cashiers assigned to an outgoing shift shall record on a daily cashier's count sheet the face value of each cage inventory item counted and the total of the opening and closing cage inventories and shall reconcile the total closing inventory with the total opening inventory.

(7) At the end of the slot machine licensee's hours of operation for each day, a copy of the cashier's count sheets and related documentation shall be forwarded to the accounting department for agreement with opening and closing inventories.

(8) Each licensed slot machine facility shall maintain a daily minimum bankroll in cash or cash equivalents, in such a manner and amount the division may approve or require, to ensure the protection of the slot machine licensee's patrons against defaults in gaming debts owed by the licensee. The daily minimum bankroll must take into account all LAP, WAP, or progressive systems for which the operator may be responsible for making payment on any given specified gaming day. In the event a licensee's daily minimum bankroll should be or becomes less than the amount required by this section, the slot machine licensee shall immediately notify the deficiency to the division. Failure to maintain a minimum bankroll required by this section, or failure to notify the division of any deficiencies, shall constitute a violation of this section and grounds for immediate disciplinary action.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 7-30-06, Amended _____.

61D-14.073 Meter Readings.

(1) Accounting department employees shall:

(a) Manually read and record at least 25 percent of all facility slot machine electronic meters each quarter until all facility slot machine meters are read as required in subsection 61D-14.042(2), F.A.C., by the end of each calendar year; and

(b) Reconcile the readings obtained pursuant to paragraph (1)(a) above with the meter information for each of the corresponding slot machine meter records on the facility based monitoring system.

(2) Each employee involved in the preparation of the slot meter sheet shall sign the slot meter sheet attesting to the accuracy of the information. The slot meter sheet shall be delivered directly to the accounting department for comparison to the slot win sheet and calculation of slot machine statistics.

(3) Whenever there is a variance of more than two percent or more than \$100 between the slot machine's internal electronic meters and the meters of the facility based monitoring system, the slot machine licensee shall investigate the cause of the variance and prepare and file an incident report documenting the variance with the controller, the director of surveillance, and the division. The incident report shall include:

(a) The date of the meter reading;

(b) The date the report was filed;

(c) The amount of the variance, by denomination, which shall be by total value;

(d) The asset number of the machine involved;

(e) The amount of the variance by bills, tickets, and/or vouchers;

(f) An indication as to the cause of the variance with documentation attached to support the explanation; and

(g) The signature and license number of the preparer.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (i) FS. History—New 7-30-06, Amended 8-14-11.

61D-14.074 Security Requirements, System Access, and Firewalls.

(1) The firewall application shall maintain an audit log and disable all communications and generate an error event if the audit log becomes full. An audit log shall contain the following information:

- (a) All changes to configuration of the firewall;
- (b) All successful and unsuccessful connection attempts through the firewall; and
- (c) The source and destination IP addresses, port numbers and MAC addresses.

(2) Except as provided in this section, the facility based monitoring system shall not allow for remote access and all access to the facility based monitoring system shall be conducted from within the slot machine licensee's facility. A slot machine licensee shall provide in its system of internal controls a method of providing limited remote access to the facility based monitoring system for a business or person licensed as a business occupational license pursuant to Section 551.107(2)(a)3., F.S., for performance of maintenance or diagnostics of the facility based monitoring system that cannot be performed by the slot machine licensee's on-site personnel. The system of internal controls for such remote access shall provide for the following:

(a) Designation of an officer required to sign for acknowledgement of internal controls in subsection 61D-14.058(4), F.A.C., who shall be responsible for determining the need for remote access to the facility based monitoring system;

(b) The device or method through which remote access is given shall be taken offline when remote access is not required;

(c) Limited access to any device or method used to establish remote access including:

- 1. A list of persons authorized to modify or enable such a device or method used to establish remote access; and
- 2. Storage of any such device or method in a secure location that is not readily accessible to any person other than those listed under subparagraph (c)1.; and
- 3. A log with separate entries for each person and the dates and times when the remote access is enabled, disabled or modified.

(d) Maintenance of a log of each time remote access is provided, enabled, disabled or modified with a separate entry for each of the following:

- 1. The specific reason for which remote access was provided to another person or entity;
- 2. The name and occupational license number of the employee who authorized remote access to be provided to another person or entity;
- 3. The name and occupational license number of the employee of the slot machine licensee who established a remote access connection to the person or entity, if such employee is different from the employee provided in subparagraph (d)2.;
- 4. The name and occupational license number of the person and entity with whom remote access is established. If remote access is provided to an employee of a business occupational licensee, the name and occupational license number of both the employee and the business entity shall be entered on the log;

5. The date and time that remote access is established; and

6. The date and time that remote access is terminated.

(e) A written report to be provided to the division in no less than 24 hours after the remote access has been completed which shall include:

- 1. The reason that remote access was provided, enabled, disabled or modified;
- 2. The name of the employee of the slot machine licensee that authorized the remote access;
- 3. The name of the slot machine employee who established the remote access on behalf of the slot machine licensee;
- 4. The name of the person and entity with whom remote access was established;
- 5. The date and time remote access was established and concluded; and

6. A narrative report that shall describe:

a. Each component of the facility based monitoring system that was accessed; and

b. Whether the remote access was successful in resolving the issue described in subparagraph (d)1.

(3) Automated ticket redemption machines are only to be used for the purpose of accepting, validating and providing payment for tickets inserted, or converting bills into smaller denominations. Automated ticket redemption machines shall not incorporate other functions. Automated ticket redemption machines shall use a communication protocol that shall not permit the automated ticket redemption machine to write directly to the system database and only process payments based on commands from the system. Automated ticket redemption machines shall meet the slot machine hardware requirements for security and player safety, as set forth in Rules 61D-14.022-.044, F.A.C.

(4) Automated ticket redemption machines shall be capable of detecting and displaying the following error conditions:

(a) Power loss or power reset;

(b) Interpretation of communication with the automated ticket redemption machine;

(c) Cash dispenser empty or timed out;

(d) RAM error;

(e) Low RAM battery;

(f) Ticket in jam;

(g) Door open;

(h) Bill acceptor stacker full;

(i) Bill acceptor door open;

(j) Bill stacker door open or bill stacker removed; and

(k) Printer errors.

(5) The error conditions referenced in subsection (4) shall illuminate the tower light alarm. The automated ticket redemption machine shall be able to recover to its prior operating condition.

(6) Error conditions listed in paragraphs (4)(a)-(g) and (k) shall require a slot machine attendant to intervene and clear the error from the automated ticket redemption machine prior to the resumption of operation.

(7) There shall be a maximum ticket value of \$1,199.99 ~~\$500~~ that can be paid by an automated ticket redemption machine, per individual ticket.

(8) The automated ticket redemption machine shall maintain the following meters:

(a) A "total in" meter that accumulates the total value of tickets or vouchers accepted by the automated ticket redemption machine; and

(b) A "total out" meter(s) for payments issued by the machine.

(c) Separate "out meters" shall report the value of all bills dispensed by denomination.

(9) A log shall be maintained in critical memory or on a paper log housed within the individual automated ticket redemption machine that consists of the following:

(a) An event log which shall record the following information about the ticket redeemed:

1. Date/time of redemption;

2. Amount of ticket; and

3. At least last 4-digits of validation number; and

(b) The automated ticket redemption machine shall maintain the most recent 35 events in the event log.

(10) Tickets may only be accepted by the automated ticket redemption machine when:

(a) All communication links are intact;

(b) Tickets inserted into an automated ticket redemption machine shall be rejected in the event of a communication failure; and

(c) Payment shall only be made when the ticket is collected and physically housed within the bill stacker.

(11) A business occupational licensee who provides maintenance or diagnostic services under this section for a slot machine licensee by remote access shall maintain a log each time remote access is provided by a slot machine licensee with a separate entry for each of the following:

(a) The specific slot machine licensee;

(b) The name and occupational license number of the employee of the slot machine licensee who requested remote access;

(c) The name and occupational license number of the employee of the slot machine licensee who established a remote access connection to the business occupational license, if such employee is different from the employee provided in paragraph (11)(b);

(d) The name and occupational license number of the employee of the business occupational license who provides services to the slot machine licensee by remote access;

(e) The date and time that remote access is established; and

(f) The date and time that remote access is terminated.

(12) A written report shall be provided by a business occupational licensee that performs maintenance or diagnostic services under subsection (11) to the division at the division's office located at the slot machine licensee's facility to whom services were provided by remote access. The report shall be postmarked for no less than 24 hours after the remote access has been completed which shall include:

(a) The reason that remote access was provided;

(b) The name of the employee of the slot machine licensee that authorized the access;

(c) The name of the slot machine employee who established the remote access on behalf of the slot machine licensee;

(d) The name of the person and entity with whom remote access was established;

(e) The date and time remote access was established and concluded; and

(f) A narrative report that shall describe:

1. Each component of the facility based monitoring system that was accessed; and

2. Whether the remote access was successful in resolving the issue described in subparagraph (2)(d)1.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 8-13-06, Amended _____.

61D-14.075 Jackpot Payouts Not Paid Directly From the Slot Machine.

(1) A slot machine licensee employee shall complete a manual or system generated jackpot payout slip whenever a patron wins a jackpot that is not automatically paid directly from the slot machine.

(2) Jackpot payout slips shall be:

(a) Consecutively numbered;

(b) Used in sequential order; and

(c) Controlled as follows:

1. Manual jackpot payout slips shall be consecutively prenumbered forms;

2. Jackpot payout slips created by the facility based monitoring system shall be printed with consecutive numbering;

3. Employees not assigned to duties in either the cashier's cage or the slot department shall document each series of jackpot payout slips the slot machine licensee receives;

4. All void original and duplicate jackpot payout slips shall be:

a. Marked "void"; and

b. Signed by the preparer and a slot attendant or supervisor.

(3) Each series of manual jackpot payout slips shall be:

(a) A three-part form in a locked manual jackpot dispenser, ~~bound booklet~~ from which the original and first duplicate jackpot payout slips may be detached while the second duplicate jackpot payout slip remains in the locked manual jackpot dispenser ~~bound booklet~~; and

(b) Maintained so that only those employees responsible for controlling all unused jackpot payout slips:

1. Control and account for the unused supply of jackpot payout slips; and

2. Take the completed booklets of the second duplicate jackpot payout slips to the accounting department for reconciliation.

(c) Under constant surveillance coverage over the use and storage of the booklets as provided in the facility's internal controls.

(4) Each series of computer prepared jackpot payout slips shall be a two-part form that is:

(a) Inserted in a printer and printed simultaneously in original and duplicate; and

(b) Printed from information that is securely stored in the facility based monitoring system and cannot be altered or removed after the jackpot payout slip is printed.

(5) The following information shall be included on every jackpot payout slip and in all jackpot payout slip stored data:

(a) The asset number of the slot machine on which the jackpot was registered;

(b) The total amount of the jackpot;

(c) The winning combination of reel characters constituting the jackpot;

(d) The date and time the jackpot occurred; and

(e) The amount to be paid from the cashier's cage.

(6) For all jackpots equal to or in excess of \$10,000, the slot machine licensee shall disburse payment only from the cashier's cage directly to:

(a) The patron; or

(b) A slot machine licensee employee assigned to a supervisor's position who shall transport the winnings from the cashier's cage directly to the patron.

(7) Certification of the accuracy of the information contained on the original and duplicate of the jackpot payout slip shall be provided by:

(a) The cashier/slot personnel who prepared the jackpot payout slip and a slot supervisor who observed the reel characters of the slot machine who shall sign the jackpot payout form; and

(b) Where the jackpot is equal to or in excess of \$10,000, a manager and a member of the security department who shall also sign the jackpot payout form in addition to the signatures required under paragraph (7)(a).

(8) The original jackpot payout slip shall be forwarded to the accounting department for:

(a) Reconciliation with:

1. The triplicate of the manual jackpot payout slip; or

2. The data stored on the facility based monitoring system for all computer prepared jackpot payout slips;

(b) Recording on the slot win sheet;

(c) Reconciliation with the meter reading recorded on the slot meter sheet.

(9) Prior to payment of a slot jackpot of \$25,000 or more, the slot machine licensee shall conduct a verification check of the game. The game verification check shall:

(a) Be completed by two slot machine licensee employees, at least one of whom shall be in a supervisor's position. The two slot machine licensee employees shall be:

1. In possession of a valid slot machine occupational license issued by the state; and

2. Assigned to different departments.

(b) Confirm the condition of the division security tape on the slot machine involved in the jackpot.

1. If the division security tape is not broken, the slot machine licensee may complete its payment procedure as outlined in its internal control procedures.

2. If the division security tape is found to be broken or tampered with, the slot machine licensee shall notify the surveillance department in order to determine if a RAM clear has recently been performed on the game.

a. If a RAM clear has been performed within the gaming day, the slot machine licensee may complete its payment procedures as outlined in its internal control procedures.

b. If a RAM clear has not been performed, the surveillance department shall provide coverage of the slot machine area involved and retain all surveillance records regarding the designated slot machine, and:

(I) The slot machine licensee shall remove the designated slot machine involved in the jackpot from play, notify the division of the jackpot and broken or tampered division security tape, and secure the designated slot machine until such time as a division representative may make a determination regarding the jackpot;

(II) A division representative shall conduct an investigation, including a verification check of game-related storage media using a device that is approved by the division for testing slot machines for compliance with Chapter 551, F.S., and Chapter 61D-14, F.A.C. If the test results from the verification device reflect that:

(A) The program in the slot machine is an authorized version for play in the state of Florida, the slot machine licensee may place the machine back into play.

(B) The program in the slot machine is not an authorized version for play in the state of Florida, the machine will remain out of play pending further investigation.

(10) The accounting department shall verify that all jackpot payouts are in compliance with Chapter 61D-14, F.A.C.

(11) When a non-cash prize is offered as a slot machine jackpot or payout for winnings, the slot machine licensee shall:

(a) Make an equivalent cash option available to the patron.

(b) Use the amount of the equivalent cash option in calculation of slot machine revenues.

(c) Include all details of each cash/prize jackpot option transaction on Form DBPR PMW-3680, Slot Jackpot Prize/Cash Option Report, effective 6/21/10, adopted herein by reference, and can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (g), (i) FS. History—New 6-25-06, Amended 6-21-10, 9-26-13, _____.

61D-14.076 Player Tracking System.

(1) Each slot machine licensee that offers the use of a card or device to its patrons for tracking player history, shall include a description of this program or system as part of its internal control procedures and submit the internal control procedures to the division for approval.

(2) Any card or device used as referenced in subsection (1) shall only be used for the establishment of a promotional account.

(3) Any activity involving a card or device referenced in (1) shall be recorded and maintained in a database that shall be available for inspection by the division or FDLE upon demand. Information in the database shall be maintained for the time specified in paragraph 61D-14.080(3)(b), F.A.C.

(4) Each card or device issued to a patron shall require at least a four digit Personal Identification Number (PIN) for use or redemption of promotional items as outlined in subsection (1).

(5) The following errors related to the use of a card or device shall be recorded by the facility based monitoring system and a message shall be displayed by the slot machine to the patron:

(a) An invalid PIN. This error shall cause the slot machine to prompt the patron for re-entry of the PIN. However, the slot machine shall not allow more than five (5) ~~three~~ attempts to re-enter a PIN number for the card or device;

(b) Account unknown;

(c) Inactive or closed account.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e) FS. History—New 1-16-07, Amended _____.

61D-14.077 Procedure for Electronic Fund Transfers.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e) FS. History—New 1-16-07, Repealed 9-12-12.

61D-14.078 Patron Slot Machine Gaming Accounts.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e) FS. History—New 1-16-07, Repealed 9-12-12.

61D-14.079 Resolution of Jackpot Disputes.

(1) A slot machine licensee’s internal controls, required pursuant to Rule 61D-14.058, F.A.C., shall include written procedures outlining how the slot machine licensee shall resolve jackpot disputes.

(2) A patron shall report a jackpot dispute to the slot machine licensee responsible for the operation and management of the slot machine licensed facility.

(3) Whenever a patron reports a jackpot dispute, the following shall occur:

(a) In those instances in which the jackpot amount is \$25,000 or more, the slot machine licensee shall resolve the dispute pursuant to its internal controls and immediately:

1. Notify the Office of Slot Operations, Division of Pari-Mutuel Wagering, North Broward Regional Service Center, 1400 West Commercial Boulevard, Suite 165, Ft. Lauderdale, Florida 33309-3787, of the jackpot dispute and that the slot machine licensee is preserving evidence to resolve the jackpot dispute which evidence shall include:

- a. Surveillance information of the designated slot machine;
- b. Records for the designated slot machine;
- c. Facility based monitoring system records, and
- d. Witness statements.

2. Notify the surveillance department to provide surveillance recordings made at the time of the jackpot and subsequent jackpot dispute for the slot machine area involved in the jackpot dispute;

3. Notify an independent testing laboratory licensed by the State of Florida of the jackpot dispute and make arrangements for analysis and assessment of the slot machine and slot machine game in question;

4. Seal the slot machine and remove it from play until the dispute is resolved;

5. Obtain witness statements regarding the dispute; and

6. Establish an investigation file for the dispute.

(b) In those instances in which the jackpot dispute is less than \$25,000, the licensee shall resolve the jackpot dispute according to its approved internal controls.

(4) The licensee shall maintain all dispute resolution files for division review and retain the files pursuant to Rule 61D-14.080, F.A.C.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (d), (e), (i) FS. History–New 6-21-10.

61D-14.080 Retention, Storage and Destruction of Books, Records, and Documents.

(1) All books, records and documents pertaining to the slot machine licensee’s operations shall be:

(a) Prepared and maintained in a complete, accurate and legible form;

(b) Retained on site for a period of at least one year from the document’s creation and subsequently authorized to be maintained at another secure location for the time period specified in subsection (3) below;

(c) Maintained in areas that provide for a workspace for inspection during all hours of operation;

(d) Organized and indexed in such a manner as to provide immediate accessibility; and

(e) Destroyed only after expiration of the minimum retention period, except that the division shall, upon the written petition of any slot machine licensee, permit such destruction at an earlier date.

(2) For the purposes of this section, “books, records and documents” shall mean any book, record or document pertaining to, prepared in or generated by the operation of the slot machine licensee or on its behalf including all forms, reports, accounting and financial records, ledgers, subsidiary records, computer generated data, internal audit records, correspondence including e-mail, personnel records, and its compulsive gambling program. This definition shall apply without regard to the medium through which the record is generated or maintained.

(3) All books, records and documents shall be retained by a slot machine licensee in accordance with the following schedules:

(a) The following books, records and documents shall be retained indefinitely unless destruction is requested by the licensee and authorized by the division:

1. Corporate records required by Rule 61D-14.085, F.A.C.;

2. Records of corporate investigations and due diligence procedures;

3. Current employee personnel files; and
4. A record of any book, record or document destroyed, identifying the particular book, record or document, the period of retention and the date of destruction;
 - (b) All other books, records and documents shall be retained by a licensee for a minimum of five years unless additional time is requested by the division or FDLE for audit or investigation; and
 - (c) Tickets and vouchers shall be retained:
 1. In hard-copy format in a secure location for a period of no less than 90 days; and
 2. In electronic data format within the facility based monitoring system for a period of no less than a year.
 - (d) The slot machine licensee shall provide for the retrieval of specific tickets or vouchers in its internal controls.
 - (4) For purposes of this section, the slot machine licensee shall retain original books, records and documents except for copies:
 - (a) Of a document that was submitted to the division or FDLE;
 - (b) That were copies when obtained by the slot machine licensee; or
 - (c) That contain original comments or notations or parts of multi-part forms.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g) FS. History—New 6-25-06, Amended 9-26-13.

61D-14.081 Monthly Remittance Reports.

(1) Monthly remittance reports documenting the previous month's slot machine gaming activity shall be due in accordance with Section 551.106(3), F.S. Each slot machine license shall file Form DBPR PMW-3660, Slot Operations Monthly Remittance Report, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03162>, and Form DBPR PMW-3670, Slot Operations Cumulative Monthly Remittance Report, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03163>, both of which are effective 9-26-13 and adopted herein by reference. The forms can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035.~~

(2) When reporting credits on Forms DBPR PMW-3660 and 3670:

- (a) "Credits In" shall include all credits on the 'total in meter' of a slot machine referenced in subsection 61D-14.042(1), F.A.C.;
- (b) "Credits Out" shall include all credits on the 'total out meter' of a slot machine referenced in subsection 61D-14.042(1), F.A.C.; and
- (c) "Hand Pays" shall include all manual handpays less accumulated credit payouts.

(3) Tickets and vouchers which remain unclaimed after 30 days shall be accounted for as taxable slot machine revenue reported as referenced in subsection (1).

(4) Winnings withheld from an excluded person shall be accounted for as taxable slot machine revenue reported as referenced in subsection (1).

(5) Non-redeemable credits shall be accounted for on, and deducted from, the taxable slot machine revenue reported as referenced in subsection (1).

(6) Each report to the division shall be received or postmarked not later than the required filing date referenced in subsection (1).

Rulemaking Authority 550.0251(2), 551.103(1), 551.122 FS. Law Implemented 550.0251(2), 551.103(1)(d), (g), 551.106(3) FS. History—New 7-30-06, Amended 9-26-13.

61D-14.082 Annual Financial Report.

(1) Each slot machine licensee shall generate an annual financial report. The annual financial report shall be based on the slot machine licensee's audited financial statements, which shall be audited by an independent certified public accountant in accordance with generally accepted accounting and auditing standards. The audited financial statements shall be used to generate the slot machine licensee's annual financial report.

(2) The annual financial report shall be prepared on a comparative basis for the current and prior fiscal year.

(3) One copy ~~Two copies~~ of the annual financial report on Form DBPR PMW-3690, Uniform Report System Prescribed for Pari-Mutuel Permitholders, effective xx-xx-xx, adopted and incorporated herein by reference, shall be filed with the division no more than 120 days after completion of the slot machine licensee's fiscal year. Form DBPR PMW-3690, Uniform Report System Prescribed for Pari-Mutuel Permitholders, can be obtained at [insert hyperlink] or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035.

(4) The annual financial reports shall be signed by the chief executive officer or chief gaming executive pursuant to subsection 61D-14.015(2), F.A.C., and the financial vice president, treasurer, or controller of the slot machine licensee attesting that they have read the report and that to their knowledge the information contained in the report is accurate and complete.

(5) The annual financial report required by this section shall include a footnote reconciling and explaining any differences between the financial statements included in the slot machine licensee's annual financial report and the cumulative monthly remittance reports in Form DBPR PMW-3670, Slot Operations Cumulative Monthly Remittance Report, adopted by reference in Rule 61D-14.081, F.A.C. Such footnote shall disclose any adjustments to:

- (a) Revenues from the slot machines;
- (b) Total costs and expenses; and
- (c) Net income.

(6) Each slot machine licensee shall include in its annual financial report:

(a) Any opinion or report on the slot machine licensee's internal control procedures issued by its independent certified public accountant;

(b) A report expressing that the slot machine licensee has followed in all material respects during the period covered by this examination, the system of internal accounting controls on file with the division. Whenever the slot machine licensee has materially deviated from the system of internal accounting controls on file with the division, the report shall enumerate any deviations and any areas of the system no longer considered effective, and shall make recommendations regarding improvements in the system of internal accounting control; ~~and~~

(c) Any corrective actions taken to deviations referenced in paragraph (b); ~~and~~

(d) Any loans, borrowings, installment contracts, guarantees, leases, or capital contributions with a value of \$25,000 or more per year.

(7) If an independent Florida certified public accountant who was previously engaged as the principal accountant to audit the licensee's financial statements resigns or is dismissed as the licensee's principal accountant, or another independent certified public accountant is engaged as principal accountant, the licensee shall file a report with the division within 48 hours of when such event occurs, setting forth the name and business address of the certified public accountant and the date of such resignation, dismissal, or engagement.

(8) Any adjustments resulting from the annual audit shall be recorded in the accounting records of the year to which the adjustment relates. In the event the adjustments were not reflected in the licensee's annual report, a revised annual report shall be required from the slot machine licensee within 30 days.

~~(9) Slot machine licensees shall report to the division details of any loans, borrowings, installment contracts, guarantees, leases, or capital contributions with a value of over \$25,000 per year no later than 10 days after the end of the month in which the transaction or event occurs.~~

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (g) FS. History—New 6-25-06, Amended _____.

61D-14.083 Compliance with Federal Reporting Requirements.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), (i) FS. History—New 6-25-06, Repealed 9-12-12.

61D-14.085 Records Regarding Ownership.

Each slot machine licensee shall maintain the following records:

- (1) If a corporation:
 - (a) A certified copy of the articles of incorporation and any amendments thereto;
 - (b) A copy of the by-laws and amendments thereto;
 - (c) A current list of officers and directors;
 - (d) Minutes of all meetings of stockholders and directors;
 - (e) A current list of all stockholders and stockholders of affiliates, including their names and the names of beneficial owners of shares held where any beneficial owner has an interest in five percent or more of the outstanding shares of any class of stock, the number of shares held by each and the date acquired;
 - (f) A record of all transfers of stock;
 - (g) A record of amounts paid to the corporation for issuance of stock and any capital contributions and dates of transactions;
 - (h) A record, by stockholder, of all dividends distributed by the corporation; and
 - (i) A record of all salaries, wages, and other remuneration, including perquisites, direct and indirect, paid during the calendar or fiscal year, by the corporation, to all officers, directors, and stockholders with an ownership interest at any time during the calendar or fiscal year, equal to or greater than five percent of the outstanding capital stock of any class of stock.
- (2) If a partnership including limited partnerships:
 - (a) A schedule showing the amounts and dates of capital contributions, the names and addresses of the contributors, and percentage of interest in net assets, profits, and losses held by each partner;
 - (b) A record of the withdrawals of partnership funds or assets;
 - (c) A record of salaries, wages, and other remuneration, including perquisites, direct and indirect, paid to each partner during the calendar or fiscal year; and
 - (d) A copy of the partnership agreement and certificate of limited partnership, if applicable.
- (3) If a limited liability company:
 - (a) Certificates of formation, amendment, and cancellation;
 - (b) Operating agreement;
 - (c) A current list of all members and managers;
 - (d) A schedule showing the amounts and dates of contributions by members, the names and addresses of the contributors, and percentage of interest in net assets, profits, and losses held by each member and manager;
 - (e) A record of the distributions of limited liability company funds or assets; and
 - (f) A record of salaries, wages, and other remuneration (including perquisites), direct and indirect, paid to each member and manager during the calendar or fiscal year.
- (4) If a sole proprietorship:
 - (a) A schedule showing the name and address of the proprietor and the amount and date of his original investment;
 - (b) A record of dates and amounts of subsequent additions to the original investment and withdrawals therefrom; and
 - (c) A record of salaries, wages, and other remuneration, including perquisites, direct or indirect, paid to the proprietor during the calendar or fiscal year.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(a), (b), (g) FS. History—New 6-25-06.

61D-14.086 Annual Compliance Audit.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), 551.104(8) FS. History—New 6-25-06, Repealed 9-26-13.

61D-14.0861 Annual Compliance Audit.

(1) In addition to the annual financial report required by Rule 61D-14.082, F.A.C., each slot machine licensee shall file an annual compliance audit report no less than 60 days after the completion of the permit holder's parimutuel meet to comply with the requirements of Section 551.104(8), F.S.

(2) The compliance audit report shall include a written statement by the independent Florida certified public accountant who previously engaged as the principal accountant to the annual financial report required under Rule 61D-14.082, F.A.C., indicating whether or not any deviations or adjustments were made from the licensee's annual financial report on file with the division. In the event of any adjustments or deviations, a revised annual financial report shall identify such deviations and/or adjustments and shall be included in the annual compliance report.

(3) If an independent Florida certified public accountant who was previously engaged as the principal accountant to the annual financial report resigns or is dismissed as the licensee's principal accountant, or another independent certified public accountant is engaged as principal accountant, the licensee shall give written notice to the division when such event occurs setting forth the name and business address of the certified public accountant and the date of such resignation, dismissal, or engagement.

(4) The compliance audit shall also contain recommendations of all findings and observations made by the slot licensee's internal audit function referenced in paragraph 61D-14.015(2)(f), F.A.C.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), 551.104(8) FS. History—New _____.

61D-14.087 Variance Reports and Response to Division Reports and Audits.

(1) Each slot machine licensee shall provide a written variance report (report) for any variance in financial reporting or accounting detected during daily operations at a facility to the division at 1400 W. Commercial Blvd., Ft. Lauderdale, FL 33309. For purposes of this rule, a variance is defined as the difference between the amount reported in a specific category on the slot machine licensee's initial report to the division and the slot machine licensee's final report for a designated business day. The following requirements apply to this report:

(a) The report shall be submitted no later than 48 hours after identification of a variance or at the end of the next business day if the variance is identified on a weekend;

(b) The report shall provide details of the variance in narrative form. The report shall also cite the numeric readings from the meters or other accounting equipment found to be out of agreement within the facility based monitoring system and associated facility management systems;

(c) The report shall include a statement of corrective action indicating what action was taken or will be taken, what systems or records were or will be updated, and a certification that the correction will be part of the end-of-month revenue report to the division.

(d) The report shall include a proposed date of correction in those instances where the corrective action will occur subsequent to the report required by this rule. The slot machine licensee shall submit a follow-up report to the division whenever corrective action occurs subsequent to the report. The follow-up report shall indicate what action was taken, what systems or records were updated and a certification that the correction will be part of the end-of-month revenue report to the division.

(2) A slot machine licensee or occupational licensee shall provide a written response to the division within:

(a) Five business days from the date of receipt of a written request from the division for information or corrective action; or

(b) Thirty (30) calendar days from:

1. The date a slot machine licensee conducts an audit and finds deficiencies requiring corrective action; or

2. The date the division or an independent auditor conducts an audit and finds deficiencies requiring corrective action.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (g), 551.104(8) FS. History—New 6-25-06, Amended 6-21-10.

61D-14.090 Prohibited Acts.

(1) No person shall engage in conduct that resists, obstructs, or opposes a division or FDLE employee in the performance of his or her duties and responsibilities.

(2) No person shall conspire with, solicit, aid, abet, counsel, hire, or procure any other person or persons to engage in a violation of Chapter 551, F.S., or Chapter 61D-14, F.A.C., nor shall he or she commit any such act on his or her own.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(d), (e), (g), (h), (i), (2), (3), (4) FS. History—New 6-25-06.

61D-14.091 Jobs Compendium Requirement.

Rulemaking Authority 551.103, 551.122 FS. Law Implemented 551.103 FS. History—New 3-27-08, Repealed 9-12-12.

61D-14.092 Content of Jobs Compendium.

Rulemaking Authority 551.103, 551.122 FS. Law Implemented 551.103 FS. History—New 3-27-08, Repealed 9-12-12.

61D-14.094 Department Agreement to the Minimum Critical Staff Level (MCSL) List Requirement for Security and Surveillance.

Rulemaking Authority 551.103, 551.122 FS. Law Implemented 551.103 FS. History—New 3-27-08, Repealed 9-12-12.

61D-14.096 Requirement for Shipment of All Slot Machines and Software Components.

(1) This rule applies to the shipment of any slot machine or software component, such as EPROMs, flash cards, or CDs/DVDs, as defined in Chapter 551, F.S., and Chapter 61D-14, F.A.C., whether the item or items are being shipped into, out of, or within the State of Florida to a:

- (a) Licensed pari-mutuel slot machine facility;
- (b) Designated DBPR or FDLE training site;
- (c) Certified educational institution;
- (d) Licensed slot machine manufacturer's or distributor's slot machine storage and maintenance facility; or
- (e) Out-of-state location.

(2) The information and material required to request shipment of any slot machine or software component shall include the following:

(a) The submission of a completed paper or electronic Form DBPR PMW-3900, Slot Machine and Component Application for Shipment, effective 6-21-10, and Form DBPR PMW-3910, Slot Machine and Component Application Shipment Record, effective 6-21-10, both adopted herein by reference, to the Chief of Slot Operations, Division of Pari-Mutuel Wagering, North Broward Service Center, 1400 W. Commercial Blvd., Ft. Lauderdale, Florida 33309-3787, and can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~; and

(b) A pre-certification that equipment being proposed for shipment into the state for use at locations designated in paragraphs (1)(a) through (d) meet all requirements for slot machines and software components in the State of Florida.

(3) Shipment of any slot machine or software component shall comply with the following requirements:

(a) No slot machine or software component that will be shipped through the state pursuant to the requirements of Chapter 551, F.S., can be shipped until the Chief of Slot Operations or his or her designee provides formal signed approval for that shipment. The division shall provide written approval to the shipper by hand-delivery, mail or electronic means such as email or FAX.

(b) All slot machine shipments shall be scheduled to permit the Chief of Slot Operations or his or her designee to be present upon arrival of the shipment at the approved destination in Florida;

(c) All slot machines and software components must be shipped in the following manner:

1. For purposes of this rule, the term “shipping seal” shall mean a material of some description (generally a large paper patch with adhesive backing) applied across a closed door or closed container top. The shipping seal shall be applied in such a fashion that should the door or container be opened, the shipping seal must be broken or damaged. A broken shipping seal shall indicate the door or container has been opened.

2. All slot machine and slot machine components shall be transported in container, compartment, or freight trailer that has been secured and bears a shipping seal.

3. All slot machine software components shall be delivered separately or encased in a separate compartment within a larger freight compartment or freight trailer. Each compartment shall bear a shipping seal. The required shipping seal shall be applied at the shipper’s point of origin. Alternatively, the software component may be shipped intact within a locked slot machine logic compartment so long as the key to such lock is shipped to the division’s office at the licensed slot machine facility, Division of Pari-Mutuel Wagering, Office of Slot Operations, 1400 West Commercial Boulevard, Suite 165, Ft. Lauderdale, Florida 33309.

4. All shipment containers must have a shipping seal applied at the shipper’s point of origin. The shipping seal shall remain intact until inspected and accepted by the Chief of Slot Operations or his or her designee, at which time the seal shall be broken by Slot Operations representatives.

a. Where equipment is shipped in vehicle freight trailers (when an entire freight trailer is used for shipment), the shipper shall affix a shipping seal across the center of each of the trailer’s exterior doors so that should the door be opened, the shipping seal would be broken. Additionally, the shipper shall also apply a shipping seal to each individual packing box comprising the shipment. Shipping seals applied by the shipper must not be broken or removed until delivery and inspection by the Chief of Slot Operations or his or her designee at the approved destination in Florida.

b. For those shipments not using an entire vehicle or freight trailer, shippers shall apply a shipping seal to each individual package, and the shipment seals shall not be broken or removed until delivery and inspection by the Chief of Slot Operations or his or her designee at the approved destination in Florida.

(d) All software components shall be delivered to the division’s office at the licensed slot machine facility ~~division regional office at 1400 W. Commercial Blvd., Ft. Lauderdale, FL, 33309, for verification and subsequently scheduled by division personnel for delivery to the appropriate facility.~~

(e) If shipping seals described above are broken, removed, or show signs of tampering, upon inspection at the delivery site, the Chief of Slot Operations or his or her designee shall instruct the facility and shipper as to the course of action to be taken. The course of action may involve:

1. Retesting and verification of the slot machine or slot machine component; or

2. Immediate refusal of the entire shipment and the return of the entire shipment to the originating shipment location.

(4) Shippers shall retain all records associated with the shipment of all slot machine and slot machine components pursuant to Rule 61D-14.080, F.A.C.

Rulemaking Authority 551.103(1), 551.109(2)(a), (b), 551.122 FS. Law Implemented 551.103(1)(c), (e), (i), 551.109(2)(a), (b) FS. History—New 6-21-10, Amended.

61D-14.097 Responsibility for Control of Slot Machine or Slot Machine Component Shipment.

(1) Manufacturers and distributors must be licensed pursuant to Chapter 551, F.S., in order to request the shipment, or receipt of slot machines or slot machine components into, out of, and within the State of Florida at a location identified in subsection 61D-14.096(1), F.A.C.

(2) Licensed manufacturers and distributors must request approval from the Chief of Slot Operations, Division of Pari-Mutuel Wagering, North Broward Service Center, 1400 W. Commercial Blvd., Ft. Lauderdale, Florida 33309-3787, or his or her designee for shipment into, out of, or within the State of Florida at least five days in advance of the proposed shipment date to or from an approved destination in Florida.

(3) Entities identified in subsection 61D-14.096(1), F.A.C., (entity) shall take the following actions to arrange a shipment of a slot machine or slot machine component to a facility licensed pursuant to Chapter 551, F.S., into or within the State of Florida. The entity shall:

(a) Notify the Chief of Slot Operations prior to the approval by the division ~~no later than five days in advance of the date~~ of the proposed shipment of any slot machine or slot machine component as defined in Chapter 551, F.S.;

(b) Confirm the slot machine or slot machine component complies with the requirements of Rule 61D-14.022, F.A.C., prior to requesting shipment to an approved location within the State of Florida;

(c) Coordinate a mutually acceptable delivery date and time for the Chief of Slot Operations or his or her designee to accept delivery or be present for the packing of the slot machine or slot machine component pursuant to Rule 61D-14.096, F.A.C.; and

(d) Obtain approval of changes to a floor plan pursuant to Rule 61D-14.050, F.A.C., in those cases where an approved floor plan exists or is required at the entity's location.

(4) Slot machine licensees shall follow additional procedures that are required for making requests for shipment of a slot machine or slot machine component out of the State of Florida. The slot machine licensee shall:

(a) Notify the Chief of Slot Operations prior to the approval by the division ~~no later than five days in advance of the date~~ of the proposed shipment of any slot machine or component as defined in Chapter 551, F.S., out of the State of Florida.

(b) Coordinate the shipment date and time for the Chief of Slot Operations or his or her designee to attend the packing, sealing, and shipment of the material proposed for shipment.

(c) Obtain adjustments and approval of any facility floor plan pursuant to Rule 61D-14.050, F.A.C.

(d) Within 10 days of the shipment, provide the Chief of Slot Operations a copy of a confirmation notice executed by the out-of-state recipient that the shipment was physically received at the out-of-state destination.

(5) The following applies to the shipment of slot machine or slot machine components within or out of the State of Florida for which an entity identified in subsection 61D-14.096(1), F.A.C., intends to achieve permanent divestiture of ownership. The entity shall:

(a) Notify the Chief of Slot Operations prior to the approval by the division of ~~no later than five days prior to the proposed shipment~~ of slot machine or slot machine component as defined in Chapter 551, F.S.

(b) Coordinate the delivery date and time for the Chief of Slot Operations or his or her designee to accept delivery under Rule 61D-14.096, F.A.C.;

(c) Coordinate shipment date and time for the Chief of Slot Operations or his or her designee to attend the packing, application of the shipping seal to the shipment container and shipment of the material proposed for shipment;

(d) Remove all master key locks from slot machine or slot machine component being shipped; and

(e) Obtain required approval of any floor plan changes necessary pursuant to Rule 61D-14.050, F.A.C., in those cases where an approved floor plan exists at the entity's location.

(6) The following applies to the shipment of slot machine or slot machine component within or out of the State of Florida when the entity identified in subsection 61D-14.096(1), F.A.C., intends to dispose of the slot machine or slot machine component through permanent destruction. The entity shall:

(a) Notify the Chief of Slot Operations prior to the approval by the division ~~no later than five days in advance of the~~ proposed shipment of any slot machine or component as defined in Chapter 551, F.S., within or out of the State of Florida to any destination for disposal. The notification shall include:

1. A statement of reason for destruction;
2. A certification that the slot machine or slot machine component is to be shipped specifically for the purpose of destroying the slot machine or slot machine component rendering it unusable for any purpose described in Chapter 551, F.S.; and
3. A statement that a certificate of destruction stating the slot machine or slot machine component has been destroyed shall be presented to the Chief of Slot Operations within ten days of the approved shipment.
 - (b) Coordinate the shipment date and time for the Chief of Slot Operations or his or her designee to attend the packing and movement of the material proposed for shipment.
 - (c) Provide for a means for destruction of the slot machine equipment.
 - (d) Remove all slot machine state seals pursuant to subsection 61D-14.098(2), F.A.C.
 - (e) Obtain any required approval of any floor plan changes necessary pursuant to Rule 61D-14.050, F.A.C., in those cases where an approved floor plan exists at the entity's location; and
 - (f) Retain a certificate of destruction pursuant to Rule 61D-14.080, F.A.C., from a designated entity at the shipping destination that states:
 1. That the slot machine or slot machine component shipped for destruction has been destroyed;
 2. The method used to destroy the slot machine or slot machine component; and
 3. The slot machine or slot machine component's identifying information.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (e), (i), 551.109(2)(a), (b) FS. History—New 6-21-10, Amended _____.

61D-14.098 Slot Machine Seal.

- (1) When a slot machine is initially received in the State of Florida, the Chief of Slot Operations or his or her designee shall affix a slot machine pre-numbered state identification seal to the slot machine's cabinet. The slot machine seal shall be located on the outside of the slot machine cabinet next to other identification labels on the slot machine cabinet to clearly identify that the machine has been inspected and accepted by division personnel.
- (2) A slot machine being transported out of Florida or being destroyed shall have all seals removed from it prior to transportation out of Florida or to its designated destruction location.
- (3) For slot machines maintained at a slot machine licensed facility:
 - (a) The term slot machine licensee's gaming area for purposes of this rule means that area designated at a slot machine licensee's facility in which slot machine games are offered to the public for play.
 - (b) The division shall:
 1. Affix an additional seal (security tape) on the exterior of the slot machine when:
 - a. A slot machine is removed from the slot machine licensee's gaming area; or
 - b. A slot machine is received at the slot machine licensed facility and is not immediately offered for play in the licensee's gaming area.
 2. Inspect those slot machines that are in the slot machine licensee's storage area, prior to moving the slot machine to the slot machine licensee's gaming area to determine if the additional seal (security tape) the division affixed to the slot machine has been broken or tampered with in any fashion.
 - (c) When a slot machine seal or additional seal (security tape) has been found to have been broken or tampered with, the following actions shall be taken:
 1. The individual discovering the slot machine seal or additional seal (security tape) has been broken or tampered with shall immediately notify the slot machine licensee's security and surveillance department;
 2. The facility shall notify the surveillance department to provide coverage of the machine area involved; remove the slot machine involved from play (if it is not in storage); retain all surveillance records regarding the slot machine; notify the division FDLE of the incident; and secure the slot machine until such time as the division FDLE investigator may make a determination regarding the slot machine seal or additional seal (security tape);
 3. ~~An FDLE and~~ division representative shall conduct an investigation, including a verification check of game-related storage media and obtain confirmation that all games comply with requirements for games in the state;

4. The division shall use a verification device that is approved by the division for testing slot machines for compliance with Chapter 551, F.S., and Chapter 61D-14, F.A.C.; and

5. If the test results from the verification device reflect that:

a. The slot machine and the slot machine game in the slot machine is a version the division has authorized for play in the State of Florida, the slot machine licensee may offer the slot machine to the public for play; or

b. The slot machine or the slot machine game in the slot machine is not an authorized version for play in the State of Florida, then the slot machine shall not be offered to the public for play. The slot machine shall not be offered to the public for play until:

(I) The investigation into the broken or tampered slot machine seal or additional seal (security tape) has been completed;

(II) The slot machine has been configured with slot machine games and slot machine components that have been certified for use in the State of Florida; and

(III) The slot machine and slot machine game has been certified for use in the State of Florida by an independent test laboratory licensed by the state.

Rulemaking Authority 551.103(1), 551.122 FS. Law Implemented 551.103(1)(c), (e), (i) FS. History—New 6-21-10, Amended _____.

61D-14.200 Educational or Training Facilities.

(1) The following entities, upon division approval, may be permitted to have slot machines for educational or training purposes:

(a) Certified educational facilities; and

(b) Florida Department of Law Enforcement.

(2) Certified educational facilities shall:

(a) Be licensed under Rule 61D-14.203, F.A.C., prior to:

1. Enrolling any student for slot machine maintenance or operations courses;

2. Offering any course concerning slot machine maintenance or operations; and

3. Conducting any business whatsoever with a slot machine licensee or applicant for a slot machine license, its employees, or agents.

(b) Submit written certification from the Florida Department of Education that it recognizes the applicant as a certified educational facility;

(c) Use only slot machine equipment and components (including software) verified by the division for instructional, training, or demonstration purposes;

(d) Follow Rules 61D-14.096, 61D-14.097 and 61D-14.098, F.A.C., regarding the shipment of slot machines or slot machine components into or out of the certified educational facility;

(e) Establish a slot machine training area that is:

1. Segregated from all other training or classroom areas;

2. Enclosed by walls from floor to ceiling;

3. Secured from all unauthorized access;

4. Secured through the use of a lock and key or similar entry control system to which only personnel holding a slot machine occupational license have access; and

5. Used exclusively for slot machine educational and training purposes.

(f) Be licensed pursuant to Rules 61D-14.006 and 61D-14.203, F.A.C.;

(g) Have filed with the division a set of written internal controls that include:

1. Administrative controls providing for the acquisition and qualification of students receiving training;

2. Requirements for slot machine training students to receive at least one block of instruction and written testing on Chapter 551, F.S., and Chapter 61D-14, F.A.C.;

3. Requirements for written certification of acknowledgement from each student that he or she understands that the slot machines are not to be used for wagering, betting, gaming, or similar activity;

4. Procedures to authorize and control access to the slot machine training area during class and non-class time periods;

5. Requirement of a statement signed by the certified educational facility chief administrator that the internal controls conform to the requirements of Chapter 551, F.S. and Chapter 61D-14, F.A.C.; and

6. A requirement that all books, records, and documents (including student records) be maintained pursuant to Rule 61D-14.080, F.A.C.

(h) Require all personnel employed or under contract with the certified educational institution who are associated with access, instruction activity, or the operation of the slot machine training area to obtain licensure pursuant to Rule 61D-14.005, F.A.C.

(3) The division shall evaluate the certified educational institution's internal controls and all amendments thereto for conformity with Chapter 551, F.S. and Chapter 61D-14, F.A.C.

(4) A current copy of the internal controls as approved by the division shall be maintained in:

(a) The chief administrator's office;

(b) The security office, when one is provided; and

(c) The slot machine training area.

(5) The certified educational institution shall obtain approval from the division for any amendment to its internal controls prior to implementing any change.

(6) Failure of the certified educational institution to comply with its internal controls is a violation of this section and may result in disciplinary action.

Rulemaking Authority 551.103(1), 551.109(2)(b), 551.122 FS. Law Implemented 551.103(1)(a), (b), (d), (e), (g), (i), (2), 551.107(2)(a)3., 551.109(2)(a), (b), 849.15(2) FS. History—New 9-26-13.

61D-14.203 Certified Educational Facility License Application.

(1) The license requirements of this section apply to certified educational facilities intending to provide instruction for slot machine operation and maintenance.

(2) A license may be issued only to an educational facility that is certified by the Florida Department of Education (FDOE) to provide educational instruction within the state of Florida.

(3) All requirements of Rule 61D-14.200, F.A.C., must be met by a certified educational facility prior to licensure.

(4) An application for a slot machine certified educational facility license shall be made on Form DBPR PMW-3422, Slot Machine Certified Educational Facility License Application, effective 9-26-13, adopted herein by reference, <http://www.flrules.org/Gateway/reference.asp?No=Ref-03164>, which can be obtained at www.myfloridalicense.com/dbpr/pmw or by contacting the Division of Pari-Mutuel Wagering at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~.

(5) If the applicant intends to claim any public records exemption from the Florida public records law, Chapter 119, F.S., it shall indicate in its application the specific sections for which it claims an exemption and the basis for the exemption.

(6) Each application shall be filed with the division's office located at 2601 Blair Stone Road, Tallahassee, Florida 32399-1035 ~~1940 North Monroe Street, Tallahassee, Florida 32399-1035~~.

(7) The division shall deny the application for a certified educational facility license if the application and its supporting documents fail to meet the requirements of Chapter 551, F.S. or Chapter 61D-14, F.A.C.

(8) A certified educational facility license shall be suspended or revoked if at any time during the period of licensure the facility is suspended or removed from the list of educational facilities certified by the FDOE.

(9) A certified educational facility license shall be suspended throughout the period of time that the facility is under suspension or similar discipline imposed by the FDOE.

Rulemaking Authority 550.0251(2), 551.103(1), 551.109(2)(b), 551.122 FS. Law Implemented 550.0251(2), 551.103(1)(a), (b), (d), (e), (g), (i), (2), 551.107(4)(a), 551.109(2), (a), (b), 559.79(2) FS. History—New 9-26-13.