

INSTRUCTIONS – REGULATION 3.100 KEY EMPLOYEE REPORT

The Regulation 3.100 Key Employee report has been updated to reflect the amended requirements of NGC Regulation 3.100. The following instructions have been developed to describe the information which is now required for the Key Employee report. The updated report is designed to allow one company to file a single report which will cover all licensees in the company's organization. **This report can be mailed to the Gaming Control Board address listed on the report, or it can be downloaded and submitted electronically to the Gaming Control Board e-mail address listed in SECTION 3 of the report:**

Section 1:

1. **Company Filing Report:** List the name of the company which is filing the key employee report and its location number. The location number is the identifying number or license number which has been issued to the company. The location or license number can be found at http://gaming.nv.gov/agency_forms.htm#tl under the caption, "Location Listing".
2. **Address:** List the address of the company filing the report.
3. **Person To Contact:** List the name, position, telephone number, and e-mail address for the person who can be contacted regarding the content of the report.

Section 2:

4. **Location Name(s) / Number(s):** List the name(s) and location number(s) of the licensee(s) which will be included in this report.

Section 3:

5. **Filing Date:** List the date when the report is submitted to the Gaming Control Board. The report is due within 30 days after the end of each reporting period. The reporting periods are six months in length and end on March 31 and September 30 of each year. If the 30-day filing period ends on a weekend, the report may be filed on the following Monday.
6. **Report Date:** List the end date of the reporting period being filed, i.e., March 31 or September 30, followed by the year.

Section 4:

7. **Columns 1 – 5:** Include the name, the last four digits of the social security number, and the title of the person being reported.
8. **Column 6:** Identify the group classification of the licensed company where the person being reported performs the duties identified in Regulation 3.100. If a person performs these duties at multiple licensed locations, each licensed location must be listed on a separate line in the report and the applicable duties must be identified for that location:
 - a. List “1” if the licensed company is a Group 1 location.
 - b. List “2” if the licensed company is a Group II location.
 - c. List “O” if the company holds a license as a manufacturer, distributor, slot route operator, inter-casino linked system operator, mobile gaming system operator, or pari-mutuel systems operator.
9. **Column 7:** List the job code (defined on pages 4 and 5 of the instructions) for each employee reported on this form. Job codes are required only for qualifying employees. If the person is being reported for reasons other than as a qualified employee, the job title listed in column 5 is adequate disclosure and a job code is not necessary.
10. **Column 8:** Indicate “Y” or “N” if the person is a “Qualifying Employee” as defined within NGC Regulation 3.100.
11. **Column 9:** Indicate “Y” or “N” if the person being reported is an individual who supervises a “Qualifying Employee” as defined in NGC Regulation 3.100. This requirement relates only to those persons who directly supervise a qualifying employee. Persons who supervise Qualifying Employees must be reported even if their duty station is located outside the State of Nevada.
12. **Column 10:** Mark this column with “X” if the person being reported has, within the six month reporting period, entered into a binding contract on behalf of a licensee which is reportable under NGC Regulation 8.130.
13. **Column 11:** Mark this column with “X” if the person being reported meets the salary qualifications specified for the appropriate group in NGC Regulation 3.100.

14. **Column12:** Mark this column with “X” if the person being reported is a person who has the authority to determine which persons, for the licensee, are authorized to grant credit, authorize extensions of credit, or authorize write-offs of credit.
15. **Column13:** Mark this column with “X” if the person being reported is a person who has the authority to determine which persons, for the licensee, are authorized to grant complimentary benefits.
16. **Column14:** Mark this column with “X” if the person being reported has been identified in a written notice from the Board as a “reportable person” or if the position they hold has been identified in a written notice from the Board as a “reportable position”.
17. **Column15:** Use this column to list the line number from **SECTION 2** for each licensee where the duties, specified in **Columns 8 – 14**, are performed by the person being reported, e.g., 1,2,3, etc.

INSTRUCTIONS FOR ASSIGNING STANDARDIZED JOB CODES

The following is a list of “job codes” to use on the Regulation 3.100 employee report form to indicate the assigned responsibilities of the person being reported for directly overseeing the entirety of a department or function of a licensee’s operation. As a person may oversee more than one department or function, list all applicable job codes for the person (e.g., for a person overseeing both the credit and collections departments, the listed job code should be 05/06).

DEPARTMENT/FUNCTION CODE – Group I or II Nonrestricted Licensee

- 01 Accounting
- 02 Bingo
- 03 Cage and vault
- 04 Contracts and agreements for entertainment or for the lease of space on the premises of the licensed gaming establishment
- 05 Credit
- 06 Collections
- 07 Entertainment operations
- 08 Finance
- 09 Food and beverage
- 10 Gaming regulatory compliance
- 11 Hotel operations
- 12 Human resources
- 13 Internal audit
- 14 Internal information technology
- 15 Keno
- 16 Marketing
- 17 Pit operations
- 18 Poker operations
- 19 Sales
- 20 Security
- 21 Slot operations
- 22 Surveillance

DEPARTMENT/FUNCTION CODE – Manufacturer, distributor, slot route operator, inter-casino linked system operator, mobile gaming system operator, or pari-mutuel system operator

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|--|---------------------------------------|
| 01 Accounting | 10 Manufacture operations |
| 02 Distribution operations | 11 Marketing |
| 03 Finance | 12 Mobile gaming system operations |
| 04 Gaming regulatory compliance | 13 Pari-mutuel system operations |
| 05 Gaming related network operations | 14 Sales |
| 06 Human resources | 15 Security |
| 07 Inter-casino linked system operations | 16 Slot route operations |
| 08 Internal audit | 17 Surveillance |
| 09 Internal information technology | 18 Technology and product development |