Review Date(s):

Manufacturer:

Auditors'	Initi	als and	Date

System/Version:		Auditor(s):					
Trial Location Name:							
Mfr#:	GCB Lab#:		Trial Location #:				
	Manufacturer's Personnel	Position	1			Contact Information	
Def	initions: "CWS" refers to a "Cash	lless Wagering Systen	า"				
	System Functionality and Repo	rting Requirements	Pass	Fail	N/A	Comments	
	General Report Requ	<u>irements</u>					
1.	Do all reports generated by the sy following attributes: (a) Page Numbering, indicating total number of pages? (e.g. (b) Current Software Version Numbering build number) (c) Date/Time period (from and toby the report or, alternatively, Of" if the report includes data in time? (d) Date/Time the document was (e) Column and row titles? (f) Title of the report (g) Grand totals for the activity pereport, and grand totals for the year-to-date, and life-to-date comparison) amounts? Industry Letter on Associated Equi Requirements dated February 19, 2	he current page and . Page X of Y) mber? (including the o) of activity covered an indication of "As from a specific point of generated? eriod covered by the elemonth-to-date, (at least two year ipment Reporting 2010					
2.	Does the system generate reports activity even if the system has no the date/time period specified? Industry Letter on Associated Equi Requirements dated February 19, 2	data to present for ipment Reporting					
3.	If the system has no data to prese periods, do all system generated dollar amounts or, alternatively, at Activity" for these periods? Industry Letter on Associated Equi Requirements dated February 19, 2 Logical Access Controls	reports present \$0 n indication of "No ipment Reporting 2010					
	-						
4.	Describe the method(s) employed system (i.e. passwords, biometric (Application, Database, Network, IT MICS #5	s, etc.) at all levels					
5.	Describe the method the system of periodic password changes for us IT MICS #6(a)						
6.	Describe how system utilizes pass requirements for user accounts w at least eight characters in length, least two of the following four requir MICS #6(b) (a) Upper Case Letters. (b) Lower Case Letters.	ith passwords being , and by utilizing at					

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Manufacturer:		Review Date(s):					
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Mfr#:	GCB Lab#:	Trial Location #:					
		Pass	Fail	N/A		Comm	ents
	(c) Special Characters.(d) Numeric Characters.						
7.	Describe the method that the system uses to prevent passwords from being reused (i.e. non-reusable for a period of 18 months or, non-reusable for at least 10 password changes). IT MICS #6(c)						
8.	How does the system detect and prevent users from gaining access through repeated password attempts resulting in failed login attempts? IT MICS #6(d)						
9.	How does the system log, at a minimum, the following events: IT MICS #7 (a) Failed login attempts? (b) Abnormal or unauthorized changes to live data files? (c) Changes to system policies and parameters? (d) Activity of administrative accounts? (e) Changes to date/time on master time server?						
10.	Describe the method to review the system logs (i.e. available in one or more reports, or viewable only through the system interface). IT MICS #7						
11.	Describe what reports the system generates for exception type activities (e.g., changes to system parameters, corrections, overrides, voids, etc.) that include the following, at a minimum: [Specify the report title(s)] IT MICS #9 (a) Date/Time of alteration? (b) Identification of user performing the alteration? (c) Data or parameter that was altered? (d) Value of the data or parameter prior to alteration? (e) Value of the data or parameter after alteration?						
12.	How does the system manage permissions for user accounts (i.e. through use of Group profiles or through Individual profiles) at the application, database, network, or operating system level? IT MICS #10 & 11						
13.	Describe and name the report(s) that the system produces listing user access that contains the following: IT MICS #12 (a) – (h) (a) Employee name. (b) Employee title or position description. (c) User login name. (d) Full list and description of application functions that each group/user account may execute. (e) Date/Time account was created. (f) Date/Time of last login. (g) Date of last password change. (h) Date and time account was disabled or deactivated. (i) Group membership of user account.						
14.	How does the system export the user access listing report to an electronic format that allows it to be reviewed using analytical data tools (i.e. spreadsheet or database)? IT MICS #32						
15.	Describe and list whether, and how, the system creates Generic, Default, Service/System, or Administrative level accounts upon installation at the operating system layer, application layer, or database						

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Manu	facturer:	Review Date(s):		s):			
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Trial I	Location Name:						
Mfr#: GCB Lab#:			Trial Location #:				
	layer? IT MICS #17-21	Pass	Fail	N/A	Comments		
16.	Describe how the system logs all administrative account usage, including the following: IT MICS #23 (a) Date/Time of activity. (b) Login account name. (c) Description of event. (d) Value before change. (e) Value after change.						
17.	Describe the method of retention and viewing of such logs. IT MICS #23						
18.	Describe the method of configuring the system to secure terminals and server consoles after a defined period of inactivity. IT MICS #43						
	In-House Race and Sports Application and Reporting Requirements						
	Acceptance of Wagers						
19.	How does the Race and Sports system validate the system time? R/S MICS #1						
20.	Does the system record all wagers such that at least the following attributes are captured: R/S MICS #11 (a) Ticket number? (b) Transaction time and date? (c) Event/Racing meet or race track? (d) Event/Race number? (e) Event/Race date? (f) Wager selection (e.g. horse number, team name and number, etc.)? (g) Type of wager (e.g. money line bet, point spread, over/under amounts, win/place/show, etc.)? (h) Dollar amount of wager?						
21.	Does the original betting ticket generated by the system include the book's name and address, whether pre-printed or printed by the system (If the wager was made electronically, then mark this question N/A)? R/S MICS #11(a)						
22.	If the wager was made electronically, is the record of the wager retained for at least 60 days in the system? R/S MICS #11(a)						
23.	Describe the method used to void a wager in the system, including authorization requirements and how such transactions are reported. R/S MICS #12(a) & (c)						
24.	Describe the method for processing a void of a live ticket at a satellite location. R/S MICS #12(c)						
25.	If the supervisor from a host book can approve a void in the system for a satellite location, does the supervisor have the ability to review the original transaction in the system to validate the ticket should be approved for voiding? R/S MICS #12(c)						
26.	Does the system prevent the acceptance of a wager after the start of the event? If so, how?						

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Syste							
Trial Location Name:							
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	R/S MICS #13	Pass	Fail	N/A	Comments	3	
27.	If the system allows the acceptance of a wager after the start of an event, identify the method or report that shows such wagers with a notation of "in progress" or something similar. R/S MICS #13						
28.	Does the acceptance of a wager after the start of event require a supervisor's approval? R/S MICS #13						
	Note: Supervisor approval is not required when a wager is accepted prior to the second half of a game starting if the second half of a game is set up in the system as a separate event (i.e. second half of a football game).						
29.	Does the system prevent a writer from accepting a wager subsequent to the established cutoff times? R/S MICS #17						
30.	If the system allows a wager to be accepted after the established cutoff times, name the report which specifically identifies such wagers: R/S MICS #17						
31.	Does the system prevent the voiding of a ticket subsequent to the established cutoff time of an event? R/S MICS #18						
32.	If the system allows a wager to be voided after the established cutoff times, name the report which specifically identifies such voided wagers. R/S MICS #18						
33.	How does the system prevent a supervisor, acting as a writer, from authorizing a void for a ticket which he wrote? R/S MICS #47(b)						
34.	How does the system prevent event cutoff times from being entered that are earlier than the current time of day? R/S MICS #19						
35.	How does the system prevent acceptance of wagers after the event results have been posted to the system? R/S MICS #20						
	Payouts						
36.	If the system allows vouchers to be issued (including through betting kiosks), does the voucher include the following: R/S MICS #24 (a) Date and time of issuance? (b) Voucher number? (c) Dollar amount of the voucher? (d) Book's name and address?						
37.	How does the system prevent tickets from being paid until event results have been posted for the system to properly grade all tickets? R/S MICS #25						

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		Pass	Fail	N/A		Comm	ents	
38.	How does the system restrict access to all unpaid ticket and unpaid voucher reports only to authorized individuals independent of the Race and Sports Book department? R/S MICS #25	1 400	T GIII	1977		Commi	<u>ome</u>	
39.	How does the system validate the authenticity of a winning ticket prior to authorizing payment it? R/S MICS #26							
40.	Does the system update the status of the ticket as "PAID" in the database when the ticket is validated as a winner and it is paid by the writer/cashier? R/S MICS #26							
41.	Describe how the patron's account balance is automatically updated for the ticket payment. R/S MICS #26(b)							
42.	Does the system automatically brand the physical ticket with a designation denoting the ticket was "PAID"? R/S MICS #27							
43.	How does the system process winning tickets that are manually paid during an outage to ensure they are entered into the system once the system has been restored to functional status? R/S MICS #30(b)							
44.	Does the system prevent authorizing payment on a winning ticket if the ticket has already been paid? R/S MICS #31							
45.	Does the system prevent authorizing payment on a voucher if the voucher has already been redeemed? R/S MICS #31							
46.	Does the system prevent authorizing payment of a losing ticket? R/S MICS #31							
47.	Does the system prevent authorizing payment on a voided ticket or voucher? R/S MICS #31							
48.	Does the system prevent authorizing payment on an unissued ticket or voucher? R/S MICS #31							
49.	Does the system require supervisor approval prior to allowing a writer/cashier access to a patron's wagering account that has been inactive (i.e. no wagering, deposits or withdrawals) for more than 180 days? R/S MICS #34							
	Writer Station/Kiosk Checkout Requirements							
50.	Does the system track and report the net amount of cash that should be in each writer's station drawer? R/S MICS #44							
51.	How does the system restrict access to the amount the system calculates should be in the writer's drawer to supervisory level personnel only? R/S MICS #44							
52.	Identify the report generated by the system for each writer/cashier station summarizing the following: R/S MICS #45(a) (a) Reginning cash balance?							

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	 (b) Cash transferred into drawer? (c) Total write? (d) Total payouts? (e) Total refunds from canceled or voided tickets? (f) Vouchers purchased? (g) Vouchers cashed? (h) Cash transferred out of drawer? (i) Ending cash balance? 	Pass	Fail	N/A	Comments		
53.	If the system allows use of betting kiosks, describe how they are enrolled and interfaced with the system. R/S MICS #46						
54.	Identify the report, or set of reports, that betting kiosks generate showing summary and detail transactions including the following, for at least a weekly period, by date and time of the transaction: R/S MICS #46 (a) All tickets written at the kiosk. (b) All winning tickets cashed at the kiosk. (c) All vouchers issued by the kiosk delineated by those used to pay winning wagers vs. vouchers purchased with cash. (d) Vouchers redeemed for cash? (e) Cash loaded into the kiosk.						
55.	Do the betting kiosk reports include sub-totals for each type of transaction and the calculation of dollar amount and number of each item remaining in the machine at the time of an unloading? R/S MICS #46						
	Computerized Player Tracking Systems Featuring Player Promotional Accounts						
56.	Does the system include player tracking or player promotional accounts? If No, then mark this entire section as "N/A."						
57.	Does the system record all manual adjustments to player accounts? R/S MICS #50						
58.	Name the system generated report detailing any adjustments to patron promotional accounts including the following: R/S MICS #50 (a) Patron name (b) Account number (c) Specific promotion, as applicable? (d) Amount of adjustment? (e) Explanation for adjustment? (f) Identification of user performing adjustment? (g) Identification of user authorizing adjustment?						
59.	Does the system prevent employees who redeem points for patrons from accessing inactive or closed accounts without supervisory authorization? R/S MICS #51						
60.	How does the system record and report any and all changes to system or promotional parameters? R/S MICS #53 & 54, IT MICS #7(d) &23						
	Race and Sports Bookmaking System Reports						
61.	Does the system record and report the book's name						

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Mfr#:	GCB Lab#:	T	rial Lo	cation #:			
	(or other identifier), the proper date, and the title of each report. R/S MICS #57	Pass	Fail	N/A	Comments		
62.	Name the system generated report(s) detailing all cashier and station generated transactions that includes the following, ordered by cashier/writer station: R/S MICS #58(a) (a) Unique ticket/wager identification number. (b) Date/Time of transaction. (c) Writer identification. (d) Station number. (e) Transaction type (write, payout, void). (f) Ticket/Wager description. (g) Amount of transaction.						
63.	Does the above report(s) list all transactions by writer/station with subtotals for each transaction type (writes, payouts, voids, vouchers issued, vouchers redeemed), and in grand total for all cashiers/stations by transaction type? R/S MICS #58						
64.	Name the system generate a report that lists for each meet's race the following: R/S MICS #58(b) (a) Race date/time (stop betting time). (b) Race number. (c) Winners (e.g. horse identification). (d) Payout amounts for each wager type.						
65.	Name the system generated report of sports book results that lists, for each event, the following: R/S MICS #58(c) (a) Event date and cutoff time. (b) The event (with team names and team identifications). (c) Event results and winners.						
66.	Name the system generated report that lists a reconciliation of futures ordered by date of event or race for the current day and all future dates the following: R/S MICS #58(d) (a) Beginning futures balance (i.e. wagers written on previous days for events occurring today or in the future). (b) Wagers for future events written on the current day. (c) Wagers on future events that were refunded on the current day. (d) Wagers on previous days for events occurring on the current day. (e) Ending futures balance.						
	NOTE: Ending Futures Balance = [Beginning Futures Balance] (+) [Future Wagers Written Today] (-) [Future Wagers Refunded Today] (-) [Future Wagers Taken Into Revenue for Events Occurring Today]						
67.	Name the system generated report that lists detailed amounts for tickets written previously for events occurring today (futures back-in) ordered by event/race that includes the following: R/S MICS #58(e)(1) (a) Ticket number. (b) Ticket description.						

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	(c) Date of event/race.(d) Amount of wager.	Pass	Fail	N/A	Comments	
68.	Name the system generate report, or set of reports, that list the detail of all future wagers outstanding (i.e. those written previously and on the current day for events occurring in the future) ordered by both date of event/race and by event/race including the following: R/S MICS #58(e)(2) (a) Ticket number. (b) Ticket description. (c) Date of event/race. (d) Amount of wager.					
69.	Do the above <u>Futures Back In Detail</u> and <u>Future Ticket Detail</u> reports include the total amount of wagers for each date of event/race, subtotaled by event/race and in grand total for all events/races? R/S MICS #58(e)(1) & (2)					
70.	Name the system generated report listing the following information for all unpaid winning tickets that have not been redeemed by patrons and have not expired: R/S MICS #58(f)(1) (a) Event/Race date. (b) Ticket number. (c) Ticket description. (d) Amount to be paid. (e) Payout amounts outstanding for all unpaid winning tickets.					
71.	Name the system generated report(s) that list all unredeemed vouchers delineated by type (purchased for cash vs. those used to pay winning wagers) that have not expired, and includes the following: R/S MICS #58(f)(2) (a) Voucher number. (b) Date of issuance. (c) Amount of voucher. (d) Grand totals of all unredeemed vouchers outstanding by type.					
72.	Name the system generated report listing all expired unpaid winning tickets ordered by ticket number that includes the date of event/race, the ticket number, ticket description, amount of payout due, and the grand total of all payouts due. R/S MICS #58(g)(1)					
73.	Name the system generated report listing all expired unpaid vouchers delineated by type (purchase vs. wager payment) that includes the voucher number, date of issuance, voucher amount, and grand total of all vouchers expired by type. R/S MICS #58(g)(2)					
74.	Do the reports in #72 and #73 above indicate whether the instrument (ticket or voucher) was purged from the system? R/S MICS #58(g)(1) & (2)					
75.	Name the system generated summary report(s) for unpaid winning tickets that includes: R/S MICS #58(h)(1) (a) Beginning balance of unpaid winning tickets. (b) Unpaid winning tickets paid during the current day. (c) Winning tickets from the current day's events that					

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Trial	Location Name:					
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			- ·	. / o		
	remain unpaid at the end of the day.	Pass	Fail	N/A	Comments	
	(d) Ending balance of the unpaid winning tickets.					
76.	Name the system generated summary report(s) for all unredeemed vouchers, delineated by type (paid for a winning wager vs. purchased for cash) that includes: R/S MICS #58(h)(2) (a) Beginning balance of unredeemed vouchers. (b) Vouchers previously issued redeemed during the current day. (c) Vouchers issued during the current day that have not been redeemed. (d) Ending balance of unredeemed vouchers.					
77.	Name the system generated report(s) for all wagering account transaction details, ordered by writer/station that includes: R/S MICS #58(i)(1) (a) Writer/Station identification. (b) Wagering account number. (c) Transaction type (wager, deposit, withdrawal, adjustment, payout, etc.). (d) Amount of the transaction.					
78.	Does the report(s) above provide sub-totals for each transaction type for each writer/station, and in grand total for all writers/stations? R/S MICS #58(i)(1)					
79.	Name the system generated wagering account summary report ordered by writer/station, by wagering account (with activity for the day) and in total by transaction type, that includes the following: R/S MICS #58(i)(2) (a) Deposits. (b) Winnings. (c) Voided Wagers. (d) Wagers. (e) Withdrawals. (f) Adjustments.					
80.	Name the system generated accrual basis recap report that includes all wagering and payout activity for the current day and presents amounts for the following: R/S MICS (58)(j) (a) Wagers written on the current day for events occurring on the day. [Current Write] (b) Wagers written prior to the current day for today's events. [Futures Back-In] (c) Accrual Write. [Sum of Current Write (+) Futures Back-In] (d) Payouts on winning wagers that were written on the current day for events occurring on the current day. [Current Payouts] (e) Payouts on winning wagers for past events that were paid on the current day. [Previous Payouts] (f) Unpaid winning wagers from events occurring on the current day. [Current Unpaids] (g) Accrual Payout. [Current Payouts (+) Current Unpaids] (h) Unpaid winning tickets that have expired. [Unpaids to Revenue (book)] (i) Unpaid vouchers issued to pay winners that expired today. [Unpaids to Revenue (taxable)] (j) Taxable revenue.					
	(k) Book revenue.					

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Syste	System/Version:		Auditor(s):				
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Mfr#:	GCB Lab#:	٦	rial Lo	cation #:			
		Pass	Fail	N/A	Comments		
		1 433	ı un	14// \	Comments		
81.	Is the above report above available on a daily and monthly basis (i.e. either in a single report or on via date range parameters)? R/S MICS (58)(j)						
82.	Name the system generated report(s) for exception type activities that includes: R/S MICS #58(k) (a) Voids. (b) Past-post voids. (c) In-progress voids. (d) Past-post write. (e) In-progress write. (f) Changes in odds. (g) Changes in cut-off times. (h) Changes in results. (i) Changes in event data. (j) All supervisory approvals.						
83.	Do all exception reports include: IT MICS #9 (a) Date/Time? (b) Parameter modified? (c) Value prior to change? (d) Value after change? (e) Identification of the user making the change?						
84.	Name the system generated report(s) for customer wagering account activity that includes the following for all transactions report ordered by wagering account: R/S MICS #59(a) (a) Wagering account number. (b) Beginning balance. (c) Each deposit (with date and amount). (d) Each wager (with ticket number, transaction date and time, and ticket description). (e) Each cancelled wager (with ticket number, transaction date and time, and ticket description). (f) Each winning wagers (with ticket number, transaction date and time, ticket description, and payout amount). (g) Net win. (h) Each withdrawal (with date and amount). (i) Each adjustment (with date and amount). (j) Ending balance.						
85.	Are all wagering account reports available to be generated on demand, for each day, and on a month-to-date, a year-to-date, and a two year cumulative basis? R/S MICS #59(a)						
86.	Are all wagering transactions presented on system reports broken into totals by transaction type for each account, and in total for all accounts? R/S MICS #59(a)						
87.	Name the system generated summary report containing summary totals by transaction category for each wagering account, and in grand total for all wagering accounts, that includes: R/S MICS #59(b) (a) Wagering account number. (b) Patron's name. (c) Beginning balance. (d) Deposits. (e) Wagers written.						

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		Pass	Fail	N/A	Comments	
	(f) Wagers canceled.(g) Winning wagers.(h) Net win.(i) Withdrawals.(j) Adjustments.(k) Ending balance.	rdss	Fall	IVA	Comments	
88.	Does the wagering account summary report include <u>all</u> wagering accounts regardless of whether they had wagering activity for the day? R/S MICS #59(b) Note 1					
89.	Are all wagering account reports available to be generated on demand, for each day, and on a month-to-date, a year-to-date, and a two year cumulative basis? R/S MICS #59(a) Note 2					
90.	Name the system generated report used to prepare the NGC tax returns where all totals are broken down by each sport (e.g. baseball, basketball, football, etc.), by sports parlay bets, and by non-pari-mutuel horse/greyhound racing that includes the following: R/S MICS #92 (a) Wagers Accepted. (b) Payouts on Winning Wagers. (c) Net Win for the book (taxable). (d) Win-to-Write percentage.					
91.	Is the report used to prepare the NGC tax returns available for each month and for year-to-date? R/S MICS #92					
92.	Name the system generated report used for the calculation of the book reserve requirement that includes the following: Regulation 22.040(1) (a) Amounts held by the book for the account of patrons. (b) Amounts accepted by the book as wagers on contingencies whose outcomes have not been determined. (c) Amounts owed but unpaid by the book on winning wagers through the period established by the book for honoring winning wagers.					
	<u>Pari-mutuel</u> Wager Reporting Requirements					
	Acceptance of Wagers					
93.	Does the system prevent wagers from being accepted if the communications link between the pari-mutuel book and the hub is interrupted? P/M MICS #1					
94.	Does the system generate an event record when a betting station is opened or closed that includes: P/M MICS #2 (a) Event (writer/cashier sign-on or sign-off)? (b) Station number? (c) Writer/Cashier ID? (d) Date and time of event?					
95.	Does the system prohibit a wager from being accepted after the post time? P/M MICS #4					
96.	When a wager is accepted through the system, are the attributes recorded for the wager:					

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		Pass	Fail	N/A	Comments	
	P/M MICS #5 (a) Ticket number? (b) Date/Time wager was accepted? (c) Terms of the wager?	1 400	T dii	10/7	Commente	
97.	Does the system record the terms of each wager including, at least, the following information: P/M MICS #5 (a) Event/Racing meet (or race track)? (b) Event/Race number? (c) Event/Race date? (d) Wager selection (e.g. horse number)? (e) Type of wager (e.g. Win, Place and Show, etc.)? (f) Dollar amount of wager?					
98.	Does the system generate a physical ticket for each wager placed (unless from a wagering account) that includes the book's name and address? P/M MICS #5(a)					
99.	If the wager is placed using communications technology, how does the system ensure retention of all wagering communications for a period of at least 60 days? P/M MICS #5(a) Note					
100.	How does the system prevent unauthorized access to wagering transaction data recorded by the system? P/M MICS #5(b)					
101.	How does the system process and record a void transaction? P/M MICS #6(a)					
102.	How are event/race results input into the system and used by the system to ensure accuracy in the grading of all wagers? P/M MICS #7					
103.	Describe the method for securing access to voucher issuance and winning ticket reports from unauthorized individuals. P/M MICS #7					
104.	When the system issues vouchers as payment on winning wagers, do they contain at least the following: P/M MICS #8 (a) The voucher number? (b) Book's name and address? (c) Date and time of issuance? (d) Dollar amount of instrument?					
105.	Describe the method the system uses to validate and brand a winning ticket or issued voucher prior to payment. P/M MICS #9(a) & 10					
106.	Describe the method the system uses to authorize winning wagers and update a patron's account balance when wagers are placed from a patron wagering account. P/M MICS #9(b)					
107.	Describe how the system prevents authorizing payment on the following: P/M MICS #11 (a) Previously paid voucher or winning ticket. (b) Voided voucher or winning ticket. (c) A losing ticket. (d) Unissued voucher or ticket.					
108.	How does the system ensure that an account that has		1			

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Auditors'	Initia	ils and	Date

Manufacturer:		Review Date(s):				
Syste	m/Version:	Auditor(s):				
Trial I	Location Name:					
Mfr#:	GCB Lab#:	Trial Location #:				
	been inactive for 180 days requires at least supervisory level authorization to access the account? P/M MICS #16	Pass	Fail	N/A	Comments	
109.	How does the system calculate and report the amount of net cash that should be in each drawer? P/M MICS #17					
110.	What level of access is required to access the amount the system reports should be in each drawer? P/M MICS #17					
111.	How does the system restrict access to pari-mutuel reporting and what level of provisioning is required to access such information? P/M MICS #21					
112.	Do all pari-mutuel reports include the date, the book's name (or other identifier), and title of the report? P/M MICS #21					
113.	Name the system generated transaction report that includes the following for each ticket sold, voided, paid as a winner or refunded, ordered by writer/cashier station number: P/M MICS #22(a) (a) Ticket number. (b) Transaction time. (c) Writer/Cashier station number. (d) Writer/Cashier identification. (e) Ticket description. (f) Amount.					
114.	Does all system generated transaction reporting present detailed transactional information for the day by writer/cashier and in total for all sales (write and vouchers issued), voids, and payouts (including vouchers redeemed)? P/M MICS #22(a)					
115.	Name the system generated report that lists a summary of all sales for each meet, each race, in total by meet, and in total for all meets the following: P/M MICS #22(b) (a) Total sales from previous sessions. (b) Total sales for the session and previous session combined. (c) Refunds. (d) Net sales.					
116.	Name the system generate race prices report listing the following for each meet's race: P/M MICS #22(c) (a) Race date. (b) Race number. (c) The winners (e.g. horse identification). (d) Payout amounts for the different types of wagers.					
117.	Name the system generated report for all tickets cashed that includes the following: P/M MICS #22(d) (a) Ticket number. (b) Writer/cashier (or station number). (c) Ticket description. (d) Amount of net dividend (payment).					
118.	Does the ticket cashed report list the total amount of net dividends by meet, and the grand total for all meets? P/M MICS #22(d)					

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Auditors'	Initia	als ar	id Date	

Manu	facturer:	F	Review	Date(s):	
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Trial L	Location Name:				
Mfr#:	GCB Lab#:	Trial Location #:			
440		Pass	Fail	N/A	Comments
119.	Name the system generated report(s) listing, for all vouchers sold and redeemed, by write/cashier station the following: P/M MICS #22(e) (a) Voucher number. (b) Transaction (i.e. Sold/Cashed). (c) Transaction time. (d) Writer/Cashier station number. (e) Writer/Cashier number. (f) Amount of voucher.				
120.	Does the above report list by writer/cashier station, and in total for all writer/cashier stations the amount of vouchers sold and redeemed? P/M MICS #22(e)				
121.	Name the system generated report listing all tickets refunded during the day that includes the ticket number, ticket description, session, refund amount, and grand total? P/M MICS #22(f)				
122.	Name the system generated report listing all writer/cashier transactions, by writer/casher, that includes: P/M MICS #22(g) (a) The amount of tickets sold. (b) Tickets cashed. (c) Tickets canceled. (d) Returns. (e) Draws. (f) Vouchers sold. (g) Vouchers cashed. (h) Wagering account deposits. (i) Wagering account withdrawals. (j) Wagering account tickets sold. (k) Wagering account tickets cashed. (l) Amount of over/short of funds.				
123.	Name the system generated teller balance report that lists for the day and session, by writer/cashier and in total the following: P/M MICS #22(h) (a) Amount of tickets/vouchers sold. (b) Tickets and vouchers cashed. (c) Tickets canceled. (d) Wagering account deposits. (e) Wagering account withdrawals? (f) Draws (funds added to stations accountability). (g) Returns (funds removed from stations accountability). (h) Amount computed as cash turn-in. (i) Actual amount reported as cash-turn in. (j) Amount of any over/short funds.				
124.	Name the system generated report that provides a reconciliation of outstanding futures balance presenting amounts ordered by date of event/race for today and future dates, and includes: P/M MICS #22(i) (a) Wagers written on previous days. (b) Wagers written today on future events. (c) Wagers written on previous days but refunded today. (d) Wagers written on previous days for today's event/race. (e) Total remaining wagers written for events/races in the future.				
125.	Name the system generated detail report showing all				

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Auditors'	Initia	als and	Date
		l .	

Manufacturer:		Review Date(s):				
Syste	m/Version:		Auditor			
Trial I	Location Name:					
Mfr#: GCB Lab#:		Trial Location #:				
	tickets written on previous days for events/races occurring today (futures back-in), ordered by event/race and includes: P/M MICS #22(j)(1) (a) Ticket number. (b) Ticket description. (c) Date of event/race. (d) Total futures back-in.	Pass	Fail	N/A	Comments	
126.	Name the system generated detail report listing for tickets written on previous days and today for events/races in the future (outstanding futures), ordered by date of event/race and event/race that includes: P/M MICS #22(j)(2) (a) Ticket number. (b) Ticket description. (c) Date of event/race. (d) Subtotals by event/race. (e) Subtotals by date of event/race. (f) Total for all tickets presented.					
127.	Name the system generated detail report of unpaid winning tickets that have not expired/purged that includes: P/M MICS #22(k)(1) (a) Date of event/race. (b) Ticket number. (c) Ticket description. (d) Amount of payout. (e) Total for all payouts.					
128.	Name the system generated detail report of all unexpired vouchers that have not been redeemed that includes: P/M MICS #22(k)(2) (a) The voucher number. (b) Date of issuance. (c) Amount of voucher. (d) Total for all unexpired vouchers unredeemed.					
129.	Name the system generated detail report that lists all expired winning tickets that have not been paid, ordered by meet and by ticket number, that includes: P/M MICS #22(I)(1) (a) Event/Race date? (b) Ticket number? (c) Ticket description? (d) Amount of payoff (net dividend)?					
130.	Does the report showing unpaid expired winning tickets list the total amount of unpaid winning tickets that must be added back into revenue? P/M MICS #22(I)(1)					
131.	Name the system generated detail report for all unpaid expired vouchers that were issued as payment (either part or all) on winning wagers that includes: P/M MICS #22(I)(2) (a) Voucher number. (b) Date of issuance. (c) Amount of vouchers. (d) Total to be added back into revenue.					
132.	Name the system generated detail daily wagering account report showing all transactions by writer/cashier number that includes: P/M MICS #22(m)(1) (a) Writer/Cashier station number.					

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Auditors'	Initia	als and	Date
		l .	

Manufacturer:System/Version:		Review Date(s):Auditor(s):				
Mfr#: GCB Lab#:		Trial Location #:				
	 (b) Wagering account number. (c) Transaction (e.g. wager, deposit, withdrawal, etc.). (d) Transaction amount. (e) Sub-totals for each transaction type for each writer/cashier. (f) Grand totals for each transaction type. 	Pass	Fail	N/A	Comments	
133.	Name the system generated transaction summary report for wagering accounts with activity for the day, ordered by writer/cashier station number for each wagering account and in total for all accounts that includes following: P/M MICS #22(m)(2) (a) Amount of deposits. (b) Winnings. (c) Cancelled wagers. (d) Wagers. (e) Withdrawals. (f) Adjustments.					
134.	Does the report listed above include totals for Write, Voids/Cancellations, Net Write, Payouts, Refunds, and Net Win? P/M MICS #22(m)(2)					
135.	Name the system generated reconciliation report for each meet, each race, and in total for all meets that includes the following: P/M MICS #22(n) (a) Net sales. (b) Negative breakage. (c) Commission. (d) Positive breakage. (e) Paid and unpaid winning wagers (runner pay). (f) Parlay breakage. (g) Deposit.					
136.	Name the system generated recap report that shows for each meet and in total for all meets on a daily basis the following: P/M MICS #22(o) (a) Total write. (b) Total refunds. (c) Total net write. (d) Total payouts on unpaid winning tickets for events on previous days. (e) Total payouts on winning wagers written on the current day for events/races on the current day. (f) Total payouts for winning tickets written on previous days for today's events/races. (g) Unpaid winning tickets from events/races occurring on the current day. (h) Total amount of all payouts on the current day. (i) Unpaid winning tickets and unredeemed vouchers paid as a part of a winning ticket that expired on the current day. (j) Beginning and ending unpaid winners and unredeemed vouchers by type (payout vs. purchase) balances.					
137.	Name the system generated exception report or set of reports that includes, for each day (session) the following: P/M MICS #22(p) (a) Exception time. (b) Employee ID. (c) Dollar amount, if applicable.					
138.	Does the report listed above include all exceptions					

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Auditors'	Initia	als and	d Date
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Manu	Manufacturer:		Review Date(s):				
Syste	m/Version:	A	Auditor	(s):			
Trial L	Location Name:						
Mfr#:	GCB Lab#:	Trial Location #:					
		Pass	Fail	N/A	Comments		
	(i.e. sign-on/offs and supervisor approvals)? P/M MICS #22(p)	1 433	T un	14/7 (Comments		
139.	Name the system generated report for all current days voided tickets voided on the current day that includes the following: P/M MICS #22(q) (a) Ticket number? (b) Date and time of void? (c) Station number? (d) Writer/cashier voiding the ticket? (e) Supervisor authorizing the void? (f) Ticket description?						
140.	Does the system generate a report listing all wagering account activity, by wagering account and in total, that includes the following: [State the report title(s)] P/M MICS #23(a) (a) Wagering account number? (b) Beginning balance? (c) Each deposit (date and amount)? (d) Wagers (ticket number, ticket description, and date/time of wager)? (e) Voids (ticket number, ticket description, date and time of void)? (f) Winning wagers (ticket number, date/time of payout, ticket description, and amount)? (g) Refunded tickets (ticket number, date/time of transaction, ticket description, payout amount)? (h) Net wagering activity? (i) Withdrawals (date and amount)? (k) Ending balance?						
141.	Does the above referenced report include the period of one day, month, year, and two year cumulative totals, and available on demand? P/M MICS #23						
142.	Does the system generate a summary report of all wagering account activity that lists all wagering accounts with totals for all accounts the following: [State the report title(s)] P/M MICS #23(b) (a) Wagering account number? (b) Patron's name? (c) Book's name? (d) Beginning balance? (e) Deposits? (f) Wagers? (g) Winning wagers? (h) Net wagering activity? (i) Withdrawals? (j) Adjustments? (k) Ending balance?						
143.	Does the system generate a month-end reconciliation report, ordered by day for each meet with month-end totals, that includes the following: [State the report title(s)] P/M MICS #24 (a) Net sales? (b) Negative breakage? (c) Commission? (d) Positive breakage? (e) Paid and unpaid winning wagers (runner pay)? (f) Parlay breakage? (g) Deposit?						

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Auditors' Initials and Date

Manu	facti	urer:	F	Review	Date(s	(s):	
Syste	m/V	rersion:	P	Auditor((s):		
Trial I	_oca	ation Name:					
Mfr#:		GCB Lab#:	Trial Location #:				
			Pass	Fail	N/A	Comments	
		System Components and Configurations					
144.		ecify the operating system name and version for all rvers on which the system is being installed.					
145.	wit	ecify the components being submitted for approval the system including name, version, and server me/location where component is installed.					
146.	the nar	he system utilizes back-end database(s), specify e database name, version, and server me/location housing the database(s) (i.e. FoxPro, b2, MS SQL, Oracle, Pervasive, SQL Anywhere, c.)					
147.	sys dia	ecify the IP addresses for each server housing stem components and data. (Include a topology agram and network mapping diagram with the bmission)					
148.	pas sub ope	st all user accounts and associated account sswords that are configured on the system bmitted for approval. (This includes accounts at the erating system, database, network, and application vers)					
149.	app	et the report generation software and version, if plicable (i.e. Crystal Reports, Microsoft SQL eporting Services, etc.)					
		Testing Procedures					
		Testing Objectives					
	•	Ensure that the all race/sports and/or pari-mutuel wagers are properly recorded and reported by the system.					
	•	Ensure that the system allows payouts only on valid winning wagers.					
	•	Ensure that the system prevents modification or voiding of wagers after results are posted.					
	•	Ensure that the system properly includes payouts made at another location in the "payout" totals for each day at the location where the winning ticket was originally written.					
	•	Ensure that the system properly calculates the outstanding futures liability for each day.					
	•	Ensure that the system requires appropriate levels of authorization to process a void, refund, or other exception type activity.					
	•	Ensure that the system reports write and payout activity by sport/event for the applicable time periods (day, month to date, year to date).					
	•	Ensure that the system distinguishes vouchers issued as part of a payout on a winning wager from those issues for cash.					

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Auditors' Initials and Date					

Manuia	cturer:	r	Review	Date(s):		
System	/Version:	A	Auditor	(s):		
r Trial I o	cation Name:			. ,		
Mfr#:	GCB Lab#:	Т	rial Lo	cation #:		
		Pass	Fail	N/A	Comments	
•	Ensure that the system calculates the outstanding voucher liability for each day.					
•	Ensure that the appropriate amount of "futures" wagers is included in Write for the day of the event as "futures back-in."					
•	Ensure that the system properly calculates and reports the outstanding unpaid winners liability.					
•	Ensure that the system does not include payouts for Taxable Win until such payouts are actually made through a patron cashing the winning ticket.					
•	Ensure that the system properly reports expired vouchers that were not redeemed, and that vouchers issued as part of a payout on a winning wager are added back to revenue.					
•	Ensure that the system masks part of the unique identifier for each ticket and each voucher issued by the system that has not been redeemed or expired.					
•	Ensure that the system properly reports any modifications to event time or event outcomes on an exception report.					
•	Ensure that the system properly transmits parimutuel ticket information to the pari-mutuel hub, if the system utilizes an interface to communicate wagering information.					
•	Ensure that the system reports transmission of wagering, payouts, purged or expire, voids, and refund transactions to validate that the system reported amounts agree with the pari-mutuel hub's reports to ensure consistency and accurate transmission of wagering transaction data.					
•	Ensure that the system accurately calculates the amount of payouts due on winning wagers after results are posted and tickets are graded.					
•	Ensure that the system reports agree to parimutuel hub reports when data is exchanged regarding the amount of purged or expired tickets and that they are added back into revenue.					
•	Ensure the system generates an accurate user access listing and that system provisioning functions are operating appropriately.					
•	Ensure that the system properly records and reports any modification or alteration to player tracking system parameters.					
•	Ensure the system accurately records and reports all modifications to patron demographic information, balances, or point structures.					
•	Ensure that the system accurately calculates the balance that should be in each writer's drawer					

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Auditors'	Initi	als and	Date

Manufacturer:			Review Date(s):				
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Trial I	Location Name:						
Mfr#: GCB Lab#:			Trial Location #:				
		Door	. Foil	NI/A	Comments		
	and that the system secures access to information to supervisory personnel.	this	Fail	N/A	Comments		
	Ensure the system accurately records all cashier/writer transactions.	and reports					
	Ensure that the system record of trans cannot be modified by book personnel						
	 Ensure that the system accurately con all transaction data transmitted to or fro or wagering terminal. 						
	 Ensure that kiosks and wagering termi may be used by patrons are identified system using a unique identified for ea all transaction data occurring at each is and completely reported. 	by the ich and that					
	 Ensure that the system produces repo that all wagering account transactions balances are accurately and complete by the system each day. 	and					
	 Ensure that the system reporting for w account transactions specifically deline transactions by type (i.e. wagers, payo deposits, withdrawals, adjustments, et 	eates outs,					
	 Ensure the system prevents and repo or attempted access to dormant custor wagering accounts. 						
	 Ensure that the system accurately recordeness all entry fees and patron data for tournaments conducted. 						
	 Ensure the system accurately records patron data for payouts to winners of a or tournament. 						
	Setup Activities						
150.	Configure three days of race and sports excurrent information from at least three racin Sports events should include baseball, foo basketball, hockey and one minor betting as NASCAR or America's Cup. Create fut proposition events (i.e. winner of the World the Super Bowl).	ng meets. tball, sport such ure					
151.	Create at least 20 parlay cards.						
152.	Configure book and accounting employees system.	s in the					
153.	Configure the period for purging unpaid tic two days.	kets at most					
154.	Configure the period for purging unpaid vo two days at the most.	uchers to					
155.	Configure a customer's account that has h	ad no					

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activity for an extended period of time.

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Manufacturer:		Review Date(s):					
Syste	m/Version:	Auditor(s):					
Trial L	Location Name:						
Mfr#: GCB Lab#:			Trial Location #:				
		Pass	Fail	N/A	Comments		
	Note: This will test if supervisory approval is needed.						
156.	Obtain a copy of the house rules for the trial site. Ensure that the events configured for the testing compare with the rules and pay-tables.						
157.	Draft a preliminary results sheet for the above sporting and racing events based on the house rules.						
158.	Verify that the times on all components of the system are the same.						
159.	Verify that the data base has been cleared of previous transactions. Run reports that would have MTD and YTD totals. These should all show zero balances or no activity.						
160.	Open at least two ticket writer stations. If testing for a hub, open at least two stations at multiple locations.						
161.	Configure race and sports wager types that will be offered by the trial location, and wager types that the system supports. The wager types should include the following:						
	Note: Not all systems or trial locations will offer or support every one of the following wagering types. Conversely, they may have wager types not listed. Testing should include as many types of wagers that may be made available to book patrons.						
	 Football wagers (a) Point line (Straight Bet). (b) Total points. (c) Money line. (d) Parlay (as many teams as offered, 3 -10 teams): Straight (Team to team). Straight (Team to total). Key to (same as 1 & 2 above). Round robin (same as 1 & 2 above). Money line – Total – Point line. Money line with a push/no action (3 – 4 team). Money line and Point line with a push/no action (3 and 4 team). (e) Teaser (6, 6.5, 7 pt) (as many teams as offered, 3 – 10 team). (f) Teaser with a push/no action so that the wager will be refunded. If bets. Proposition bet. Future bet on Super Bowl. Parlay cards and Teaser Cards (scanned and manual): Pick less than required. Pick more than allowed. Pick such that a push/no action causes the wager to be refunded to the patron. Picks such that not all results for selected events are known on one single day (i.e. 						

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Auditors'	Initial	s and [Date

ufacturer:		Review Date(s):				
m/Ve	ersion:	Adita.w(a).				
_ocat	tion Name:			`		
#: GCB Lab#:		7	Trial Location #:			
		Pass	Fail	N/A	Comments	
Bas	sketball wagers	1 400	ı un	14//	Commonto	
(a)	Point line (Straight Bet).					
	Total points.					
	Money Line.					
(d)	Parlay (as many teams as offered, 3-10 teams)					
	 Straight (Team to team). Straight (Team to total). 					
	3) Key to (same as 1 & 2 above).					
	4) Round robin (same as 1 & 2 above).					
	5) Money Line – Total – Point line.					
	6) Money Line with a push/no action (3-4 team).					
	7) Money Line and Point line with a push/no					
	action (3 and 4 team).					
(e)	Teaser (4, 4.5, 5 pt) (as many teams as offered, 3					
/£ \	- 10 team)					
(1)	Teaser with a push/no action so that the wager will be refunded.					
(a)	If bets.					
	Proposition bet.					
	Future bet on NBA championship.					
(j)	Parlay cards/Teaser Cards (scanned and					
	manual):					
	Pick less than required.					
	2) Pick more than allowed.					
	3) Pick both sides when not allowed.					
	 Pick such that a push/no action causes the wager to be refunded to the patron. 					
	5) Picks such that not all results for selected					
	events are known on one single day (i.e.					
	events occur on different test dates.					
Bac	sketball wagers					
	Point line (Straight Bet).					
	Total points.					
	Money line.					
	Parlay (as many teams as offered, 3-10 teams):					
	1) Straight (Team to team).					
	2) Straight (Team to total).					
	3) Key to (same as 1 & 2 above).					
	4) Round robin (same as 1 & 2 above).5) Money line – Total points – Point line.					
	6) Money line with a push/no action (3 – 4 team).					
	7) Money line and Point line with a push/no					
	action (3 and 4 team).					
(e)	Teaser (4, 4.5, 5 pt) (as many teams as offered, 3					
` '	– 10 team).					
(f)	Teaser with a push/no action so that the wager					
100	will be refunded.					
	If bets.					
	Proposition bet. Future bet on NBA championship.					
	Parlay cards/Teaser Cards (scanned and					
U)	manual):					
	Pick less than required.					
	2) Pick more than allowed.					
	3) Pick both sides when not allowed.					
	4) Pick such that a push/no action will cause the					
	wager to be refunded.					
	5) Pick so that not all results are known on a single day.					
	seball wagers Manay line:					
(a)	Money line: 1) Team vs. team.					
	2) Listed pitcher vs. listed pitcher.					
	,		i .			

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Auditors'	Initia	als ar	id Date	

Manufacturer:System/Version:		Review Date(s):			
		Auditor(s):			
Trial Lo	ocation Name:				
Mfr#: _	GCB Lab#:	٦	Γrial Lo	cation #	#:
		Pass	Fail	N/A	Comments
	3) Team vs. listed pitcher.	1 400	1 411	1 (// (Commone
	4) Off pitcher.				
	(b) Total points:1) Game does not go 8.5 innings.				
	2) Off pitcher.				
	(c) Run line:				
	1) Game does not go 8.5 innings.				
	2) Off pitcher.				
	(d) Parlay:1) Straight (team to team).				
	2) Straight (team to total).				
	3) Straight (team to listed pitcher).				
	4) Straight (listed pitcher to total).				
	5) Straight (run line to team).				
	6) Straight (run line to total).				
	7) Straight (run line to listed pitcher).8) Round robin (as above).				
	9) Key to (as above).				
	10) Off pitcher.				
	11) Straight parlay with push/no action.				
	12) Cross sport parlay.(e) Two types of bet on one ticket (straight and				
	parlay).				
	(f) Proposition bet.				
	(g) Future bet on World Series.				
	(Oth an)				
-	'Other" sports wagers (a) Money line/Match-up.				
	(b) Proposition bet.				
	(c) Parlay.				
	(d) If bet.				
	(e) Future bet on something like Indy 500.				
	(f) Parlay cards.				
	n-House Race wagers				
	(a) Win, place, show.				
	(b) Exacta (box, key to, all).(c) Quinella (box, key to, all).				
	(d) Daily Double (key to, all).				
	(e) Trifecta (box, key to, all).				
	(f) Superfecta (box, key to, all).				
	(g) Pick 3, 4, 6 (key to, all).				
	(h) Parlay win, place, show, cross track.(i) Future book Kentucky Derby.				
	(j) Horse Match up wagers.				
	(k) Proposition wagers.				
	(I) Parlay card.				
	(m) In-house progressive contest (Twin Q).				
I	Pari-mutuel race wagers				
	Configure the following wagers with the pari-mutuel				
	nub's test system: (a) Win, place, show.				
	(a) Will, place, show. (b) Exacta (box, key to, all).				
	(c) Quinella (box, key to, all).				
	(d) Daily Double (key to, all).				
	(e) Trifecta (box, key to, all).				
	(f) Superfecta (box, key to, all).				
	(g) Pick 3, 4, 6 (key to, all). (h) Parlay win, place, show cross track.				
	(i) Future book Kentucky Derby.				
	(j) Horse match-up wagers.				
	(k) Proposition wagers.				
	(I) Parlay card.				

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Auditors'	Initi	als a	nd D)ate

Manufacturer:		Review Date(s):			
Syste	em/Version:	Auditor(c):			
Trial I	Location Name:				
Mfr#:	GCB Lab#:	٦	rial Lo	cation :	#:
		Pass	Fail	N/A	Comments
162.	Generate initial baseline reports for both the race and sports system, and the pari-mutuel systems.	1 433	i ali	IN//A	Comments
	<u>Daily Tests of Transactions</u> (To be performed over all three test dates)				
163.	Using each cashier station, write at least 5 wagers for each of the wager types and/or each sport/event configured or supported by the system. Ensure that an equal amount of wagers are placed from wagering accounts as over-the-counter wagers.				
164.	Using each cashier station, write at least 3 wagers of each type supported by the system for events occurring in the future.				
165.	Using each kiosk, write at least 5 wagers for each of the wager types and/or each sport/event configured or supported by the system. Ensure that an equal amount of wagers are placed from wagering accounts as over-the-counter wagers.				
166.	Using each cashier station, write at least 3 wagers of each type supported by the system for events occurring in the future.				
167.	Adjust the odds of at least 2 events for each sport, race, and meet such that wagers are accepted at varying odds.				
168.	Place bets using both over-the-counter wagers and wagering accounts on events where the odds have changed. Ensure that the odds are branded properly on the physical tickets and on the bet descriptions in the wagering account transaction reports.				
169.	Void at least 5 current tickets and 5 future tickets where the event has not occurred yet. Ensure the system brands				
170.	Generate at least 50 purchase vouchers in varying amounts such that at least 5 instruments are created at every cashier station.				
171.	Process at least 5 deposit and 5 withdrawal transactions at each cashier station for various wagering accounts.				
172.	Post the results of events occurring on the current day and settle all outstanding accepted wagers.				
173.	Reverse the results of one event and post a different result and rescore the outstanding accepted wagers for such events. Ensure the system appropriately and accurately reports such occurrences.				
174.	Cancel at least one event and refund the outstanding wagers using a combination of at least 5 vouchers and the rest for cash or deposit back to the patron's wagering account.				
175.	Redeem at least 10 winning tickets for cash and 5 for vouchers, and 10 for a combination of vouchers and cash				

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Auditors'	Initia	als and	Date
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Manufacturer:		Review Date(s):				
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Mfr#: GCB Lab#:			Trial Location #:			
		Pass	Fail	N/A	Comments	
176.	If the system supports satellite locations, cash one winning ticket written at a location at one a different location. Cash one of the winners through a cashier terminal and one through a kiosk.					
	Note: Ensure that each cashed ticket reflects as a payout deduction for revenue purposes on the revenue reports for the location where it was written. Additionally, ensure that the cashed tickets are reflected on the transaction cashier and kiosk reports as redemptions at the location where actually cashed.					
177.	Make at least 2 adjustments to two wagering accounts. Ensure that the system requires proper authorization and that such adjustments are reported accurately.					
178.	Redeem at least 2 winning tickets and 2 vouchers in a kiosk.					
179.	Void at least one purchase voucher and one voucher paid as part of a winning wager. Ensure the system appropriately distinguishes between the instrument types and accurately reports the transactions.					
180.	Attempt to redeem one purchase voucher and one payout voucher that have both been voided in a kiosk. Ensure the kiosk does not allow such a transaction to occur.					
181.	Attempt to change the system time back before events took place and attempt to void a combination of losing and winning tickets. Ensure the system prevents such transactions.					
182.	Ensure that at least 25 unpaid winning and losing tickets are left over at the end of the day.					
183.	Ensure at least 3 vouchers of each type (payout vs. purchase) are retained at the end of the test day.					
184.	Apply all day end close procedures and generate all end of day reports.					
185.	Obtain all reports from the Pari-Mutuel hub test system for later comparison to the Race and Sports system reports.					
	Subsequent Transactions (To be performed after Day 1)					
186.	Void a payout voucher (i.e. one paid as part of a payout on a winning ticket) at a different location, if the system supports multiple locations. Ensure the voucher is reflected as a reduction in the voucher liability at the location where issued and is reflected in the cashier transaction reporting at the location where voided.					
187.	Allow vouchers of both types (payout vs. purchase) to expire and ensure that only the <u>payout</u> vouchers are added back to revenue on the day of expiration					

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Manufacturer:		Review Date(s):				
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		Pass	Fail	N/A	Comments	
188.	Attempt to void a losing ticket from a previous day.					
189.	Attempt to write a ticket for an event settled on a previous day.					
190.	Allow at least 5 winning pari-mutuel tickets to expire, and ensure they are added back to revenue upon expiration/purging.					
191.	Void a "futures back-in" ticket prior to the start of the event.					
192.	Attempt to void a "futures back-in" ticket during the event.					
193.	Attempt to void a losing "futures back-in" ticket after the event results are posted.					
194.	Attempt to change the posted results of one event from the first day of testing on the third day and for which winning tickets have already been paid.					
195.	If the system features a progressive pool, write tickets for the event to which the progressive is tied and ensure the pool increments at the proper rate.					
196.	Make a winning wager over-the-counter such that the progressive is won. Make a similar wager by wagering account such that the progressive is won by the patron.					
197.	Verify that after both winning wagers occur, that the progressive base reset is correct.					
198.	Perform end-of-shift and end of day procedures and generate all applicable reports.					
199.	Obtain reports from the pari-mutuel hub.					
	Testing of Application Controls					
200.	Force a password change and ensure the system requires password complexity as required by IT MICS #6.					
201.	Disable a user account and record the date and time and user account that was disabled for later comparison to system reports.					
202.	Add a new user account, recording the date and time of the addition and administrative account used to create the new user account.					
203.	Change the group membership and/or individual profile permissions for one user account.					
204.	Test the system to ensure that the terminals secure themselves after a defined period of inactivity. Record the setting and result.					
205.	Review system logging to ensure the usage of administrative accounts is accurately reflected.					

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Auditors'	Initi	als an	d Date

Manufacturer:		Review Date(s):					
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		Pass	Fail	N/A	Comments		
206.	Attempt three failed login attempts to ensure the system locks the user account to prevent further access attempts.						
207.	Review the user access listing to ensure that all events related to modification of user accounts are appropriately reported.					_	
208.	Attempt to cash a losing ticket.					_	
209.	Attempt to void a losing ticket after the event results have been posted. Ensure the system prevents such a transaction.					_	
210.	Attempt to write a ticket after the beginning of an event. Ensure the system either reports such transactions on an exception log and requires supervisory approval; or that the system prevents such a transaction.						
211.	Attempt to write a ticket for an event that has already occurred and event results have been posted.					_	
212.	Attempt to redeem one voided voucher or ticket.					_	
213.	Log on a cashier to a terminal or station and then log off. Review the system cashier logging reports to determine that the system properly and accurately records and reports the proper event attributes.					_	
214.	Attempt to alter wagering transaction data in the system using a cashier account. Ensure that only a supervisor or above can access such information.						
215.	Attempt to access an inactive patron wagering account using a normal cashier account. Ensure the system requires a supervisory approval and records and reports this on an exception report.						
216.	Ensure that the system reports the amount that should be in each cashier's drawer accurately, and that supervisory level authorization is required. Attempt such access using a normal cashier account.					_	
	Player Promotional Account Transactions						
217.	Generate all player promotion account reports.						
218.	Verify the beginning balances of all patron promotional accounts.					_	
219.	Create at least one player club clerk and one player club supervisor account.					_	
220.	Change the status of one patron's promotional account from active to inactive. Attempt to access the inactive patron account using the player club clerk user account. Record the result.						
221.	Make several positive and negative adjustments to various patron promotional account points using the player club clerk account over various days of testing. Ensure the system requires the approval of a supervisor prior to posting the adjustments. Record					_	

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Auditors'	Initi	als an	d Date

Manufacturer:		Review Date(s):						
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			Fail	N/A	Comments			
	the result.	Pass	Ган	IN/A	Comments			
222.	If the system offers the capability, set points adjusted to a patron's promotional account to expire on one of the subsequent test dates. Record the amount of the adjustment, the expiration date(s), and the patron accounts.							
223.	If the system offers the capability, accrue points to at least two patrons' promotional account through ordinary wagering activity on at least two days of testing. Record the amount of points awarded for each patron account used.							
224.	If the system is connected to a gaming system, attempt to use/redeem awarded points and adjusted points available in various patron accounts.							
225.	Attempt to make changes to the point award structure or other system parameters using the player club clerk account. Ensure the system does not allow the adjustments to be made.							
226.	Make changes to the point award structure or other system parameters using the player club supervisor account. Record the parameters and the value before and after the change.							
227.	Generate all patron promotional account reports at the end of each day.							
228.	Verify that the system reports the changes to the parameters and point structures on exception reports.							
229.	Verify the user access listing shows the creation of the two user accounts with the appropriate creation date and time.							
230.	Verify the ending liability balances for each patron promotional account reflect the correct changes from adjustments, redemptions, award accruals, and expirations.							
231.	Verify that all adjustments are reflected on exception reports and that the adjustment events identify the date and time of the adjustment, the patron's account name and number, User ID of the employees making and approving the adjustment, and the amount of the adjustment.							
232.	Verify that points expire as configured and are reported in detail for each day of testing.							
233.	Verify that the system reports the status change of the patron promotional account from active to inactive.							
	Auditing Procedures							
234.	Foot all reports and trace information listed on each individual report to the recap/reconciliation reports.							
235.	Foot and cross foot the recap/reconciliation report and verify that all information is accurate.							

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Manufacturer:		Review Date(s):				
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236.	Foot all tickets written, paid and voided and trace to their respective reports (Write, Paid, Unpaid, Future, Void, etc.).	Pass	Fail	N/A	Comments	
237.	If the system is a hub for non-pari-mutuel race and sports wagers for multiple properties, verify that account wagers and payouts made via wagering communications are separated by the home casino of the account holder.					
238.	Vouch and regrade all tickets and confirm to amount branded on the ticket (paid tickets) and the amount listed in their respective report (unpaid and paid).					
239.	For all pari-mutuel races/events verify the commissions per the daily reconciliation report are calculated correctly.					
240.	Verify that tickets written and paid are being categorized to the correct sport/race track listed on the recap/reconciliation report.					
241.	Verify the "exception activity" performed was posted to the exception reports.					
242.	Tick mark and tie all reports together to the recap/reconciliation report and place in folder.					
243.	Compare all system pari-mutuel reporting to the pari- mutuel hub's reports to ensure that tickets written, tickets voided, winners paid, and tickets purged match for both systems.					
244.	Verify that cashier activities and kiosk transactions are properly reported and that the system accurately calculates the balance that should be in each drawer.					
245.	Validate that the date and time and wager terms/odds printed on all tickets (regardless of whether they are winning or losing tickets) match the system reports.					
246.	Verify that all wagering account reports accurately reflect patron wagering, deposit, and withdrawal activities and any adjustments.					
247.	Verify that the system accurately calculates the outstanding liabilities for unpaid winning tickets (for both pari-mutuel and race/sports) and for futures.					
248.	Ensure that the system brands all physical tickets or vouchers that were paid or voided during testing with the appropriate designation and date/time information. Ensure the activity matches the system reporting.					

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